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ABSTRACT

The proceedings of this institute cover sources for grant proposal ideas, grant proposal writing procedures, the content of a grant request, procedures of granting agencies, and problems in carrying out granted projects, including report writing. The relationship of the granting agency to the grant recipient is viewed throughout as a partnership, rather than an adversary connection. Types of grants include: planning, research, training, demonstration, equipment, facilities, and program development and/or expansion. Federal funding agencies are listed in material published by the Government Printing Office; private agencies, in the Taft Information System. For a grant proposal to be funded, it must be feasible, specific, have a competent and experienced research director or principal investigator, and fit the funding agency's policies. These proceedings discuss budgeting, the handling of grant money, and the hiring of personnel, focusing on probable problem areas. Examples are cited from the experience of the institutional research team at Delgado Junior College (Louisiana). References to printed matter and studies which might help in writing grant proposals or in carrying out granted projects are given throughout. (NHM)

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INSTITUTE

ON

WRITING GRANTS

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DELGADO JUNIOR COLLEGE
New Orleans, Louisiana

Dr. Marvin E. Thames, President

JC 750 499

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To Dr. Marvin Thames, President of Delgado Junior College, the writer and the participants in the institute would like to express special appreciation for providing the scholarly atmosphere in which this institute was conceived and the moral and intellectual leadership that added immeasurably to its successful conclusion.

INSTITUTE ON WRITING GRANTS
Delgado Junior College
November 30 - December 1, 1972

Harris K. Goldstein, D.S.W., Institute Leader

(The following is a transcript of the institute proceedings. To preserve the flavor of the spontaneous give and take of the institute, editing has been kept to a minimum. The transcript begins with an explanation by the Director of his background.)

I think it will help you to know a little bit about my background. I want you to know the biases in the background of the speaker. I originally started my association with Delgado about eight years ago when I was teaching at Tulane. About three years ago when I left Tulane and went to work for Florida State University in Tallahassee, Delgado asked me to continue as their research consultant and their consultant on planning, so I did. My field is research. I teach research and I engage in various kinds of research; my job here at Delgado is to help them do institutional research, to help them write research grants, planning grants, program grants, and other things related to institutional planning. I guess that's enough about me.

As a kind of philosophical background to this discussion I would like to give you my own philosophy about writing grants and my own philosophy about grantsmanship. I think there are two ways you can approach writing grants: as a partner with the agency from whom you are seeking funds or as a adversary with the agency from whom you are seeking funds. I firmly believe in a partnership approach, and not as an adversary. That is different from some colleagues of mine who see this as an adversary relationship, and they want to get away with everything they can. Now my experience has been the opposite, so I approach grant writing from a partnership approach.

I assume that you have some need that you want to get funded; I assume that the granting agency has some funds that they want to spend; and I assume that some way or

another you are going to come together. This occasionally means that you cannot get exactly the money you need for exactly the purpose that you need. Sometime you have to bend your purpose a little bit to fit the granting agency's purpose. Usually if there is any bending to be done, you have to do it. The granting agency usually operates by very strict rules. The granting agency often operates under certain laws. So it must operate in certain ways, and there are some things they can do and some things they cannot do. A lot of success in getting grants is knowing how to modify your initial need in order to meet the granting agency's policies. Now this business of [illegible]ing as a partner with the granting agency has certain indications. It means that you don't try to disguise the purpose for which you want the money. If you want it for something, that's what you tell them. They may suggest that you write the grant for something else, that's different. You do not decide to write it for something else unless they tell you to. This being partners means that you do not pad your budget, you operate as honestly as you can about your budget. That I think is both an ethical and a practical necessity. Not only is it unethical to pad your budget, but if you do, you will get caught at it. They know a lot more about writing budgets than most of us do. Some of us have seen one budget and some of us have seen twenty, but the granting agencies have seen thousands of budgets. So what it means is that there's not a whole lot of point in trying to picture your institution or organization any brighter than it is. They probably know what it is, and you might as well be straight forward and honest about that. And when you write your progress report, it means that you give them as honest a picture of what's happened as you can. Now on the other hand, being honest doesn't mean that you have to hit your head against the wall or wear a hair shirt. It doesn't mean that you have to do things that are against the benefit of your institution.

You can often reach your goal by more than one method, and in trying to reach the goal you may sometimes decide that you want to write, for example, a training

grant. You want to train somebody in a certain activity, but it may be more productive, because of the granting agency's policy, to write a grant for a research grant where you study the effect of this kind of training. You might take this approach because the granting agency might have funds for research where it does not have funds for training, or vice versa.

This cooperative partnership has some other advantages. It puts you in a position where when you start working on a grant, you can call up the agency and say, "Look, I am having this problem. Do you know what I can do about it?" It permits you to ask questions about the application that are not clear. It permits you to get some idea about what budget range the granting agency is thinking of. It permits you to answer questions such as whether you have to have personnel available before the grant is written, and so forth. So I simply want to say in philosophy that I think this is the kind of way I am going to approach grant writing in this institute. Now some of you may want to take a different approach; that's fine, that's your approach, and you may want to say something about that. I gave an institute in Miami in June where one gentleman, who should be nameless, said that he believed in the adversary approach and he made a lot of good points about how he had been successful in, I won't say, defrauding agencies, but in presenting things in such a way that it helped him get the grants. I think you have to decide which sort of way you want to go.

One of the problems about an institute like this is that I know there are a lot of different backgrounds in this group. Some of you have written grants; some of you may have written more grants than I have; some of you may have written no grants. I am going to operate on the basis that you are here to learn about writing grants, and if I mention some things that some of you might already know, I hope this will be kind of a review instead of a waste of time. If I mention anything that you think is contrary to your experience I would appreciate it very much if you will put up your hand and say something about it. I am not the final

authority on writing grants. There are many things that I am still learning. I suppose that I have written or helped write maybe fifty or sixty grants, but that does not mean that I know all the answers and I hope that some of you people with experience will contribute and those without experience will at least ask questions.

Just to talk a few minutes more, and then I will stop for questions. The way I plan to carry this institute out is to briefly go through a number of points that I will cover in more detail later in the institute. I try to follow the procedure that an old country preacher once told me about how he did his preaching. He said that at first I tell them what I'm going to tell them, and then I tell them, and then I tell them what I told them. And this is what I propose to do is to give you a brief once over, then some details, and then a summary. With that in mind, let's see if you have any questions about the institute or about any of the content of the institute or about anything you would like to have discussed here. The first question is always hardest to get.

Comment: Dr. Goldstein, some have books on Obtaining Financing-Research Projects. I was just wondering if this book is available here and if we can buy it somewhere.

Yes, we can give you the book and we will have a little break a little later and if you would like to have the book we can make it available.

Question: At Southeastern, we are working on eight different proposals at this time. The one that is causing us the most trouble is special services. Will you get around to discussing specific proposals in your attempt to get federal money to set up our special services program?

I will try to. I am not sure I know just what that service is. It may be that Angel Delacroix is more familiar with it. If you will tell us a little more about it later, we may be able to be more helpful. I think one of the things that gets pretty tiresome is to be lectured to, so if you can try some things and get some reaction to them, this might be helpful. We have on a table outside, and some of you may have noticed this, a resource file. There are several things out there.

They are ideas and sources of ideas for grants. There are grant proposals that Delgado has written, and that have been successfully funded. Perhaps you would like to look at some of those.

Some of those proposals are in process. There are a couple of books out there that are reports of research or reports of projects that Delgado has funded and completed. I hope that during the break you will take a look at them. This red book, for instance, is an example of a teacher training institute which we were able to get funded through the Office of Education. It went on for a year where our teachers were given special training in teaching low income and minority students. This blue book is a report of a research project that we had funded.

Grant funding is going to get increasingly difficult. One of the cautions I would like to say is that I do not have any magic wand or magic way of getting funds. I do know on the basis of experience some of the things that help get grants and some of the things that do not. I think this will be the chief value that you will get out of this institute.

When I teach my research class, I say to my students that one of the things that they may find out about research is that it produces no guarantee of truth, and all of the procedures of research are a series of procedures aimed at reducing error. None of these procedures guarantee truth. I think the same thing can be said about this institute; none of the preocedures will guarantee you a grant, but most of them will help you eliminate errors in writing grants. Any other questions?

Then, let us talk first about where you get ideas for grants. I am proposing to talk, in order, about ideas for writing grants, the process in writing grants, the content of a grant request, what happens to a grant after it leaves your institution, and what are some of the problems in carrying out grants after you get them. This is a kind of chronological order from beginning to end. Now I hope we will have some time for the kind of thing Mr. Knowles has suggested about a particular grant because I think it makes a lot of these abstract ideas concrete.

There are two places you can get ideas for grants. One is unsolicited, and the other is solicited grants. Now I am going to use the term grant in a general sense to include both a grant and a contract and an award, and all are different terms. A contract is different from a grant, and an award is sometimes different from both of them. We will talk about the differences later, but for now let us consider that the word grant includes all of these. Of the two sources of grants, the solicited grants are the ones from the government and/or private sources, but most of the solicited grants come from the government. These are the grants that the government asks somebody to do. They are things that the government wants done. For example, they may advertise for somebody to develop a plan to evaluate all of the Headstart Programs in the United States, or they may advertise for somebody to develop a model plan for teaching such and such a content. There are various agencies in the government that you can write to, particularly The Government Printing Office, and ask for these advertisements or solicitations for proposals. Not many of them will fit the junior college scene. Many of them, for example, go to contractors. The Department of Defense does a lot of advertising for particular grants that it wants to make, and for particular studies that it wants to make. So most of your grants, most of your contact with granting agencies, will be for unsolicited proposals. That is, you want to write something, or you have an idea that you want to get funded, or you have heard about somebody else who has an idea that they want to get funded; so you set about trying to find out how to fund it.

One of your best sources of funds is the material that The Government Printing Office puts out about federal agencies--Catalogue of Federal Assistance Programs. We have a copy of that out on the table. It is about as thick as a Sears and Roebuck Catalogue. It is a loose leaf piece of material. They send you additional material from time to time. This has listed in it in alphabetical order, all the federal agencies that will fund projects. It also has a subject index so

that if you are interested in, as we were, for example, a child care program, you can look under child care to see what the federal government might be funding in that area. I suspect that some of you are familiar with that.

There is an information system available for private agencies as well, and I will give it to you completely so it will get on the tape. It is called the Taft Information System and its mailing address is 1000 Vermount Avenue, N.W., Washington, D. C. I am not advertising this private system, which, I think, makes a profit on their catalog, I am simply mentioning it because I have found it useful, and Florida State University keeps it in their Library. It too is a loose leaf binder, and it lists all of the large and many of the smaller foundations. It tells you what sort of things they fund, what their policies are. They give you examples of grants that they have funded. It is an excellent source of private funding.

Most of us have been working with federal funds. Federal funds, I think, are going to get tighter, and you will find that more and more people are going to turn to private agencies. Of course, they are going to get overwhelmed, too. So it is good to know sources of information as much as you can. I suppose that most of you know about the Science Information Exchange, but in case you don't, I want to get it on the tape too. The Science Information Exchange is operated by the federal government. Its address is 300 Madison National Bank Building, 1730 M Street, N.W., Washington 20036. Science Information Exchange is not a funding agency; it will not provide you with any funds, but it is a source of information about what other people are doing, and many times in writing a grant it is useful to know what other people are doing--what research they are doing or what training they are doing. They interpret science in a broad sense to include social science as well as physical science. They will make a search of literature on a particular topic for various prices. I think their minimum is $40.00. It is going in blind, but sometimes you feel that you get many times more than the $40 worth. Yet sometimes when you ask them to make a search, you only get a few listings of things

that have been done. Of course, that means that only a few things have been done or they only know about a few things; but it is a source of information. Any questions about how you get ideas for grants? Comments will be fine, too.

Comment: I would like to comment about what we use to find out about federal funding. We have found that this publication called A Guide to Federal Aid Education is very helpful. It costs $275, which is a deterrent, but it has paid off for us. It is updated each month. You get it through the Appleton Publishing Company, and it is a loose leaf two volume edition; you are probably familiar with it.

Question: Who decides on feasibility, on whether or not the grant will be funded? Now, let's say, for example, I come up with an idea for an unsolicited grant and have an idea which I feel is feasible; it is acceptable to the institution for which I work, and I want to see if this can be funded. Is there any problem in getting this funded?

There might be and there might not. I have to say that depends; I don't mean to be vague, but there are lots of things that influence the fundability of a grant and we will discuss those as we go along. When your grant gets into the granting agency, it is usually looked at by a series of people, and each of whom will check it for different things. The most common reason that a grant is turned down, (assuming that there is money available, of course; if they don't have any money, the best grant in the world cannot be funded)is that you simply sent it to the wrong agency. This is one of the most frequent errors that is made in grant writing. There have been some studies of some grants that were turned down, and this was found to be the most common reason for their being turned down. I don't mean to put your question off, because I want to encourage questions, but we will talk more about what things are most likely to be funded and what are reasons for not funding. Is there anyone else who has any contributions from his own experience about sources of funds? Ideas, places where you can write, such as Mr. Knowles has mentioned. I think that is a useful thing for you to know about.

OK, let us say you are ready for step two. You have got an idea and you want to take the first step and try to get it funded. Either it is your idea, a colleague's idea, or somebody's asked you to do something. The one thing you do not do is sit down and write the grant. That comes a good deal further along the road as far as my experiences have been concerned. The first thing I recommend, and again I do this on the basis of experience, is that you write a one or two page summary of what your proposal is going to be, and then you send it to as many potential sources as you can think of, asking for an expression of interest. I believe this saves a lot of extra work. I believe also it helps you to clarify what it is that you are going to ask for and to make concrete perhaps some of the vague ideas that we all start off with. This summary ought to cover certain points. It ought to be, and in a sense it is, a summary or prospectus, a real summary of your entire grant. You have to do a good deal of thinking to write this summary. I suggest that you start off by saying what your objectives are, why you want to get the grant. That may take only a sentence or two. I suggest that you indicate the significance of your project. Why is it important that they fund this? What will happen if these objectives are met? Why is it needed? Essentially the significance statement is a statement selling your project, but don't try to oversell it in this summary. One or two sentences will be enough. Then you include a brief summary of the method of procedure what you will do if you get the grant to reach these objectives, and how you propose to evaluate the outcome, or how you propose to show the granting agency that you have reached these objectives. Now some granting agencies are more definite about evaluations than others. I think you can expect to see an increasing interest and emphasis on evaluation. The new, or the continuation of the past, administration I expect to place further emphasis upon evaluation, and fewer and fewer grants will be given without some good evaluation of your outcome.

So you should write a summary, one or two pages. It should be as well written as possible because it is what the person you correspond with will judge you by. I say a summary, but in my book I talk about a letter. You might write an individual letter to each agency. Since I have written the book, I have decided in many situations, it is better to write a summary. Then you write a cover letter to the agency saying that the attached summary describes a grant proposal that we have in mind and if your agency is interested would you please send us application forms and guidelines. Most every granting agency will have some forms that they will want you to fill out and set guidelines that you must follow. These you have to have. So this is the first step, writing the summary.

Question: If you are near the vicinity of a region or area need, would you include that data on the summary or survey?

Yes, that is a good question. If I could show the need for this grant and I have made some kind of survey, I would include the need. I would try to do it briefly. I would try to do it in a paragraph, which might be difficult if you had done a complete survey, but anything that you can show the proposed agency that will help them to see you as a realistic grant writer, the better it is. I.e., if you have done some further work, if you have completed a pilot study, or if you are writing a grant to train people to do such and such and you have already done this a little bit, then a sentence or two mentioning that you have some experience will help to show them that this is a real plan. If I can say one sentence about writing grants that my experience has shown me to be most important of all that is to demonstrate in every point in your request that this is a real request, that you have thought it out carefully, that you have all the specific angles covered. Next to not fitting the agency policy, the second most common reason that grants are turned down is because they are vague, because they lack specificity, because they have been written in a shot gun approach, because they propose to do too much. So this documentation of need would be a fine thing. Any other questions about this summary? or comments? or experience? Have any of you done this sort of thing?

Question: As far as getting grants approved, is it best to work alone or with another institution that would have the same objectives?

That is a good question. I think I will again have to answer that question with a "It depends." In most cases I believe that you will enhance your chances for getting a grant if you work with another institution, but that is not always true. The guiding principle behind many granting agencies, the people who control the funds, is that they want to get as much as they can for their money. If you can show that you can train people at two institutions, you have then developed a more generalized type of training, and it is often to your advantage to show this. For example, we recently sent in a Cooperative Education Grant. I am sure some of you know about the Cooperative Education Program where students work while they are going to school. They work a semester, then they go to school a semester. This is not a new program and in some ways Delgado has been slow in sending one in because other agencies have sent them in already. They indicate in the guidelines that consortium type programs would be likely to get priority, and there are a lot of advantages in a co-op program that involves more than one institution. For example, there may be jobs open that students from your college won't fit but students from our college fit. Again, there is often more efficiency in a larger organization than in a smaller one, but like every other guideline, this does not hold in every instance. Have I answered your question? Any other comments?

Question: You will probably cover this later on, but the timing in sending this summary in is probably pretty important, isn't it? For instance, you would want to send it two or three months before submitting a particular proposal, in order to get some feedback on it, right?

Yes, the timing of sending in your summary is important, but I wouldn't be too concerned about that. It is true that most granting agencies do have

deadlines and they do say that request for such and such a program has to be submitted by such and such a date, but if you miss it this year you can get it next year, and there are several agencies that have two or three different deadlines a year. For example, one agency will allow you to submit in March and September. Some agencies have four deadlines a year, one every quarter. So at the time I submit the summary I do not think I would be too concerned about the deadline. I would take whatever time I needed to write a good summary and then send it in. You can send out your summary to a half a dozen different agencies, both public and private, and ask for an expression of interest.

When the agency writes you back, however, the chances are you will be encouraged instead or discouraged, and you need to keep that in mind. Many beginners feel, "Well, I have got an encouraging letter from X agency, so I am all set." That would be great if that would be true. Unfortunately, it isn't. The federal agencies are concerned about their public relations and their public image and will generally encourage you to write grants instead of discourage you. It would be very rare that someone would write you and tell you that this is a terrible proposal and that they see no reason for it to be funded. So if the answer you get has a discouraging or neutral tone to it, especially if the tone is neutral, you can probably be pretty discouraged. Such a tone means, "Go ahead and send it, but we do not promise very much."

One of the things that sending in a summary also achieves for you is contact with the granting agency. I cannot minimize the importance of contacts and names. To have a person that you can write to or call up in the maze of governmental agencies and organizations is great help. If you send in a summary, somebody will write you and answer you. So this gives you someone you can call up if you have further questions. You may find out when you call them up that they will say, "Well, I only wrote you that letter, and I am not the right person," but at least they are a lead and they may tell you who to call. Experience has shown that you may have to

make several different calls to get the right person, but it is helpful to have a place to start. So it is helpful to have names you can write to, and this is another thing that your summary will achieve for you.

In many cases in answer to your summary you will get very helpful suggestions. Many times you will get a letter that will say, "This is an interesting proposal, but we think that your objectives need to be more specifically stated,"or "We clearly see what your objectives are, but your method of procedure leaves several gaps." Frequently you will get quite helpful and specific suggestions and responses to this summary. This is a way of getting some helpful ideas. Yes sir, I see you have a question.

Question: I submitted a proposal to the Agriculture Department, a summary requesting a planning grant to solve a particular problem. I thought I had done a pretty good job of outlining the kind of approach that we would use and the objectives of it. I received a rejection of the proposal with a comment that it was a very interesting subject but I did not tell them exactly how I was going to solve my problem. If I knew how to solve my problem there would not be a problem at all. My question is, is there any likelihood that you could resubmit such a grant to an agency as big as the Department of Agriculture, or that maybe somebody else might read it and might see a different side if they were more familiar with the problem?

Yes sir, I think there is an excellent chance. Would you resubmit it under a different title, rewrite it or restate it, or would you resubmit it just like it was?

If I may offer a suggestion, I might resubmit it but not immediately as my next step. Again for success in writing grants, one of the most important character traits you can have is persistence and a certain attention to detail. First, I would suggest in a case like yours, for you to call up the man who wrote you the letter and see if there was a misunderstanding. Talk with him, and I would say, just as you have said to me, "I recognize that I do not have a solution

to the problem, but what I am asking for is money to try to find a solution to the problem. Do you have any idea as to whom I might make such a request?" One of the problems of our vast federal bureaucracy is that the man in office A frequently doesn't know what the man in Office B is doing, but sometimes he does and if you ask him, he will tell you. So by calling up this gentleman you might find out something. Now again, if you try and he says yes, he understood your request when he read your letter and when he wrote his reply that he understood that you wanted a planning grant but that does not fit his agency's policy, that it doesn't provide planning grants and he doesn't know who does provide planning grants for that kind of thing, you are still not necessarily at a dead end.

A suggestion that I often make is that one has representatives in Washington who can be very heipful. They have secretaries and contacts and this is a case where I would suggest that you take your summary and send it to your Congressman. Ask him if he knows of any source of support. Now I am not suggesting that you do this so the Congressman will put political pressure on this agency, but because he is in Washington and he usually has more than one paid secretary or aid who can pick up the telephone and make twelve or fifteen calls and try to find support for your grant. If this person has your summary and if it is written simply enough so that he can understand, then he may well be helpful to you and he may write you back and say he suggests that you contact so and so. Again, if you have an idea, persistence often pays off. I thank you for that particular idea because it brings out several points that the group may be interested in.

Question: I have got one in the same line. You mentioned the congressman and the legal angle. In your experience, have you found that if you ask the Congressman to check into and not necessarily apply political pressure, but I think in a way it would be if they checked into it, do agencies react negatively to this or do they react positively or does that depend upon the agency?

Again, I guess the answer to that is that it depends. I do not usually write my congressman or representative in Congress unless I think that is the best way to go about doing a particular job. If I want to find out what has happened to one of my grant requests, I usually call up the agency or write the agency first. People in federal agencies get thousands of letters, and they cannot always answer your request, so that is when I often write a letter to the congressman and say that I have written to agency X about Grant B and we have had no answer to it, and I would appreciate it if he would inquire of them when we will hear about this grant. I do it to get information and not to put on political pressure. My experience has been that most grants are granted on their merits and that this is often a situation which often causes problems if the granting agency feels that you are putting them into political pressure. Now there are some exceptions where grants appear to have been given in certain situations where, I am not quite sure how to put this, but where need is established in Washington. I think in some specific cases there are going to be some political angles in some of these grants. My experience has been the other way, though. Mostly, I have found that if you follow a straight forward plan, write a good grant, and follow it out, you are consistently paid off. Any other questions? Have I answered your question?

Thank you.

In many cases when you get an answer, the granting agency will offer helpful suggestions and will say to you before you submit a grant request that they would like to see further details. They will encourage you to write a longer summary before you send in a formal proposal. This happened to us, for example, I guess it was in November of '71 that Delgado decided it would like to start a program called the Mental Health Generalist Program which some of you are familiar with. The program is to train people at the A.A. level for working in mental health centers, as assistants to social workers, psychologists, psychiatrists, nurses, and so forth. As the name implied, it is a mental health generalist who will assist all the mental health professions.

We went through the routine of sending in a summary, and we were encouraged to send back a longer summary. They did not send us the application forms. They indicated that if we could come up with a preliminary statement that they felt was satisfactory then they would send us the application forms. So we rewrote our summary and made it from two to five pages, and they looked at it and said it was fine and sent it back with some further comments. That summary went back and forth to Washington at least three times and maybe four, each time being amplified and strengthened. There were many telephone calls where they would call us up and suggest that we needed to do this or we needed to do that; finally we had about a fifteen page application, and then they sent us the application forms and said to go ahead and send this in formally.

Obviously when an agency takes this much trouble to work with you, they think you have an interesting idea and this enhances your chances. The fact that we went through all this does not mean that we would get this grant; in fact, the next thing that happened was that we sent in the grant, I recall,for a deadline sometime in the spring. Then they sent a team down here for a site visit. I will talk about site visits in more length later. A site visit is part of the process of approving a grant. When an agency thinks that your grant has promise, they often send a team down on a site visit to look at the site at which you propose to carry out the grant. The fact that they invest money in sending somebody for a site visit is usually a good sign. It means that at least they have not discarded your application right away. They came down here for a site visit, as I recall, in July and talked with us and talked with the prospective director and looked over the Delgado physical plant and so forth. Then they wanted more information. We sent in another eight or ten page supplement on questions that they had raised on their site visit. The grant is still in Washington, and we hope to hear from them in January. This shows how agencies will often help you very specifically in writing grants, and this is further reason why I purpose the partnership instead of this adversary philosophy. It was a small grant, even with

so much effort in it, I think it was $30,000, which is considered a pretty small grant.

Question: Was the original summary that you sent out to many agencies or did you concentrate on one at first?

We sent it out to about three or four. Since it was a grant in mental health, I think we sent it to the Public Health Service, National Institute of Mental Health; I think we sent it to the Department of Labor and one other, but I have forgotten which one. Office of Education, yes. Any other questions or comments?

Question: Do you find that the guy that looks at all the available sources and sees that the federal government is funding in a certain area and then tries to dredge up an idea in this area so that he can get the money, with his main objective as primarily for getting money and not because he is interested in the problem, has a very good chance of being funded?

I think that if you are only interested in getting money that the granting agency knows a lot more about that than most of us do and that the chances are not good. However, there is a slight variation on that theme, and that is that certain subjects are hot issues from time to time, and if you can modify your original idea to fit what is a hot issue, you may well get it funded. For example, there was a gentleman in my office in Florida about two weeks ago from the National Institute of Mental Health. I said to him that I wanted to write a grant to study my own research teaching. I have been carrying on a study of research teaching for about ten years, and I have had two grants and this would be the third one. They had funded two grants for me, so I asked him if he thought they would fund the third one. He said that he could not encourage me to write a third grant because they expected funds to be very tight under this current administration's plan and that it was very unlikely that I would get funded.

Then I asked him a question that was along the lines you mentioned, that is, who has money, and he said that the drug abuse and alcohol programs have money.

I said that perhaps I can write a grant to study drug abuse research. In this way I could do some study of research teaching and at the same time fit the granting agency's policy who was interested in promoting some kind of study of drug abuse. Now I have considered modifying my own objective from studying research teaching to studying teaching of people to do research in drug abuse; and at the same time they are getting something that they might be interested in. He said yes, that he thought such a project might be fundable. I have not yet written it, but this sort of bending of your own plan to fit avaiable funds is a perfectly legitimate course of action, and is not discouraged by granting agencies.

Another point which I will talk on at more length is that you must know something about the content area you are writing about. It is almost impossible to get a grant about something if you do not know what you are writing about. It seems obvious, but people do try to do that. I would not try to write a grant about training people in research about drug abuse if I did not know something about training people for durg abuse. I am consultant to the Florida Drug Abuse Program, and I have been doing a good deal of work in drug abuse. I have contacts in the drug abuse field and I have places where people could be trained and where drug abuse research could actually be carried on. All this helps to make it realistic. If I knew nothing about drug abuse research, it would be a great mistake for me to write such a grant. [I think simply because funds are available is not a good reason to write a grant.] Does that help?

Yes it does.

Any other questions?

We have been going about an hour now, so this might be a place to take a break. We talked about getting a summary and what happens when the summary comes back. Why don't we take a break and have a cup of coffee and in about ten minutes start again?

I think we will get started again now that our break is over. I do appreciate your questions and comments. I do think they make for more interesting discussion. I am used to talking to a class that is free to raise questions and make comments. Nobody ever gets laughed at for any question or comments they make, and I think it makes for a much more interesting kind of thing than when you lecture.

I will pick up now with where we were in the process. You have sent in your summary and you have been encouaged by at least one agency to submit a grant request. Somebody has sent you an application form and a set of guidelines. The next step I think is to read those guidelines carefully; you cannot read them too carefully. This is like a game and one of the keys to successfully modifying your program is to fit it to thing that will be more likely funded. Most agencies will send you guidelines which will consist of several pieces of data. Those of you who are new at this game might want to look on the table outside to see what a set of guidelines looks like. For example, they will send you a statement on how to fill out the application form. Now this is no worse than filling out your income tax. It tells you what to put on line 1, line 2, line 3, line 4, and so forth; and you do just what it tells you. That is not the hard part. Then somewhere inside the guidelines it will say that you have to write a narrative. The narrative part of your grant request is where you expand your summary on each of several topics, objective, significance, method, and evaluation in order to tell the agency in detail why you should get a grant and what you are going to do with the money when you get it. Before you start writing that you ought to look at the agency's priority list. Most guidelines will say to you that you will get a better chance at being funded if you will write a grant on subject A instead of subject B. Some guidelines will give you a priority list--the first priority is this, the second priority is this, the third priority is this, and so on. Other guidelines will give you a list of what they give priority to, but

they won't tell you what is first. If you cannot write along that priority line then you are probably wasting your time, particularly in this day and age when grant funds are so tight. This is where you may have to modify your goals a little bit. For example, you might want to develop a cooperative education program. They may say that the cooperative education programs that are going to be given priority are those that stress cooperative education for low income and minority students, and veterans. If they do, you might as well write your program for low income, minority students, and returning veterans. Otherwise you may be wasting your time. These are some of the priorities that the federal government is emphasizing right now. As most of you know, low income and minority groups, veterans and women, (women is the next group) are the groups that are getting priority. There was a time, for example, when there was more concern for training Black men for whom many jobs were not open, than Black women; but now we have a conflict in purposes, at least an apparent conflict in that now jobs for women are being given priority. So I urge you to pay attention to these priority statements in writing your grant; this is an area where you may bend your own goals a little bit.

Here is an example that I can mention. I am showing you this little red book, Prototype of An Institute for Training Teachers of Disadvantaged Students. When we wanted to develop an institute for training our teachers through the Office of Education, and I think this was a Title III Grant, we got their guidelines. They were giving, at this time, a great deal of priority to training of teachers of disadvantaged students. So this is what we wrote our grant about. Now it happens that Delgado has a large proportion of disadvantaged students, low income and minority students, so this fits our needs. We would not have written the grant if it had not fit our needs, but we emphasized the sort of thing they were giving priority to and we did receive a small grant and carried

on this institute for a year. In learning how to teach low income and minority students, of course, our teachers also learned some things about teaching some other kinds of students. So there were some dividends for the school as a whole. Even though a grant is focused on one point, this does not mean that you necessarily lose the benefits of something else. Are there any questions about that?

I am going to talk tomorrow in detail about how you write the actual grant request and the various parts of the narrative. So instead of spending time on that today I am going to go ahead and give you a preview of the various steps in the grant writing process.

In writing a grant, you will find, that besides these topics we talked about today, you will also have to prepare a budget. We will talk tomorrow in more detail about how to prepare a budget. You will find that you will also have to write something about facilities and personnel available at your institution. We will talk about writing that.

One of the questions that I often get asked at this time is the value of professional grant writing and should you ask for help from a professional grant writer. I say that is a mixed blessing, or a mixed curse, however you look at it. There are organizations that write grants for fun and profit and who will write you a grant complete for a fee. I am not able to give you the name of any such organization. I think if you wanted to look for one that there would probably be plenty of them around. It is illegal for anybody to write a grant for a percentage of the grant, so to speak. It is illegal for anyone to write a grant for 1%, 2% or 5% or whatever you will get. So you won't find anybody doing that, but you will find people who write grants for a fee. I have occasionally done this, but I think a professional grant writer can be a mixed blessing and curse. A professional grant writer knows a lot about writing grants; however, he does not know what you want to do, he does not know your institution. These are the

chief liabilities in getting a professional grant writer to help you. They simply may not know your problems; they do not know your needs. They may often write something that will look good to a granting agency but may not be what you wanted. You may say, "well, if I get the money, what does it matter?" Well, you may not get that money when the granting agency comes to make that site visit and[finds that it doesn't quite fit your agency.] I think consultation from an experienced grant writer can be helpful, particularly in such technicalities as how to prepare a budget. It is only on the basis of experience that some people are likely to know how much some things are likely to cost. A professional grant writer can often help you in the area of evaluation, particularly if the person knows something about how to evaluate projects, which often takes some particular skill. I have seen grants written without one hour's worth of professional help, so I encourage you to go ahead and try to write a grant without help.

I teach a course in grant writing. I will have two sections with 18 students each, and I have seen these students write a grant in my class. They actually go through the process of writing a grant during the ten weeks they are in my class. I have seen some of them write a grant in that class for the agency in which they were going to work and have it funded almost by the time they graduated. This has happened on more than one occasion. It is not that I am that good a teacher; it is just that it's not that hard to write grants if you follow the procedures that I have set up.

What happens to your grant request after you write it? We are going to talk tomorrow about how to write it. Your grant goes into the agency, but first, if you work in a state institution, you usually have to get a sign off or a clearance from somebody in the state. I understand that is pretty much the situation here in Louisiana, and I think it is in Florida too, but I cannot tell about Texas. Is that the situation in your state too?

Usually, for example, you will be asked to send your grant through some clearance individual or agency, where they want to know if it is going to cost your institution any extra money. That is the first thing they want to know, as well as whether it is going to require any extra space or any special equipment that is not covered in the grant. If the grant does not cost them any extra money or you have the money in your budget to cover whatever the cost of the grant is, then that is fine. If not, then they won't approve it, and we can understand that.

Assuming that it has gone into an agency, a federal agency for example, it will then be checked by someone in the agency to see that you have followed the rules, that you have put the right thing on line 1, line 2, and so on. This is called a grant management branch; they do not worry at first about the content of your request; they just want to see if you followed the rules. Then it usually goes to someone in the agency who reads it over to see if it has promise. If it passes this person, it usually goes to a committee. Now most grants are acted on by a committee, but like everything, this is a rule that has many exceptions. There are grants that are approved right in the granting agency, and that is it; or they are disapproved right in the granting agency. By far the most common practice is for the grants to go to a reading committee. Now this group of people who look at the grant may be in the same line of work that you are, but they may not be. You may write a grant for training engineers; it may go to a group of engineers or it may not. There probably will be one or two engineers in this group so you have to be careful about how technical the language is that you use in your grant. There are usually two or three people on this committee who represent the country at large, but they will be people like presidents or large corporations or administrators of big agencies, not federal employees. These people who are administrators of large corporations, for example, are on the

committee because they are supposed "to know what is good for the country," look at your grant not from the standpoint of its technical excellence or whether it all holds together or whether you can do it or not, but really whether it is important. There job is to see if this is an important thing to be funded and good for the country. These people meet at irregular intervals, generally three to four times a year. Some of them are paid a consultation fee for this work, and they act on your grant. Several things can be decided: they can approve it as it is written, which rarely happens these days; they can approve it with some budgetary modifications, which happens frequently;they can approve it conditionally, that is, they can say"we will approve it if you will get a better director, a better qualified director, or we will approve it if you will develop a better way of evaluating your grant." So they may give you the conditions under which they approve it. A final decision is that they may reject it.

If is possible for a grant to be approved but not funded. I have had that happen several times. Grants are given a priority in this approving process as to what is to be funded first, second, and third. If your proposal is quite far down the list, it may be approved but not funded. This is what happens to your grant as it goes through the process; but I did not mention the site visit. Sometime between the time you send it in and the time it is acted on they may and quite likely will, send somebody to your agency to look you over. The business of a site visit is strictly that: to look you over; to look your institution over; to look at your physical facilities; to look at what kind of people you are; and to judge and gauge whether or not they think you can do the job if they give you the money. They are interested, at this time, in personalities; they try to gauge who will be the person to carry out this grant, who is going to direct it, whether he is the kind of person who can successfully handle this if they give you the money. They want to know what kind of support you have from the administration of the institution. Are the president, vice-president and other administrative officers

in favor of this grant, and if they are in favor of it, are they actively supportingit(and by supporting it,I don't mean financially supporting it); are they actively and favorably going to do things to help you carry out the grant? Are they going to be neutral if you get the grant, or will they say, "well fine, he got the grant, now that is his problem?" Or will they be generally kind of unfavorable to it? The site visitors will want to meet these people and determine these kind of things. As I said, we had a site visit here on the Mental Health Generalist Grant in July.

Frequently when an agency gives you that first grant they will send somebody on a site visit. After you have had one grant and they know you and your institution, they may give you a grant without a site visit. Many of the federal agencies have a rule that if the grant is over $100,000 or some set figure, it cannot be awarded without a site visit. They will often make site visits on smaller grants, too. For the first grant we ever got from the Office of Education, they came down and made a site visit. We have had several grants from the Office of Education since then, and they have not made site visits. They apparently feel that they know Delgado, and there is some communication between the people in Washington, between one office and another. So this is how the site visits go. Any questions on this process of sending in the grant?

Question: I want to ask something about the site visit. I guess when you find out that they are going to make a site visit it should be pretty well organized as to what is going to happen after they arrive. In other words, it would be very bad if nothing was coordinated and everything was done in sort of a haphazard manner?

That is a very good question, and I am glad you raised it. You made me think of some things that I ordinarily should have mentioned, and I have not. You can over-organize a site visit, or under-organize it. When somebody says that they are going to come for a site visit, they will usually tell you who they want to

see. It is true that with busy people like the president of the institution that you usually have to have an appointment because he has such a busy schedule. I generally do not recommend that you present the site visitor with an agenda and say this is what we have planned. He wants to be free to explore in his own way, and if you try to structure his visit too much, this could look to him like you are trying to, I wouldn't necessarily say pull a snow job, but that you are maybe being defensive and want him to see some things and not other things. So I usually recommend that when a man comes for a site visit that certain people try to keep themselves available and set up as few appointments as possible. I like to be reasonably organized, and I would not particularly want to go out on a big party the night before. I would like to be at my best, but I would not do any great house cleaning or make any great plans. We had this recent site visit, and we tried to make people available. We said, "if you would like to see so and so, he will be available here, but not here. When do you want to see him?" You usually ask them what they want to see. They will mostly want to talk to the project director, or the proposed person who is going to direct the grant, and feel him out in person. They will want to talk to the administration of the institution, but they do not want a formal tour of the institution and that kind of thing. In most cases, if they want to see something, say, if the grant is about the media center, then they will probably want to see the media center, but not necessarily the library, and so forth. So I am glad you raised that question; I think you can over organize and over plan a site visit, too. Usually they will write you; sometimes they will write you and tell you specifically who they will want to see. If they do not, I think you have a right to write them or call them up and ask them if there is anybody in particular who they want appointments with or would like to know. They may say, "no, do not make any appointments," or they may say, "yes."

Question: Particularly with federal grants, it seems to be generally an idea that you should follow up with the particular office that you are applying to or you should get your Congressman involved in the act or somebody, or have some contact man in Washington. It this advisable, or would it be detrimental?

We have not routinely done that. We have not routinely notified our Congressman of every grant we send in. I know that some institutions do routinely say, "we would like for you to know that we have submitted a grant for such and such an agency." Some Congressmen have asked that they be notified of this routinely. We have not done it routinely at Delgado; as I said a while ago, we have used this approach as an information source. I think this is something you would need to work out with your individual Congressman, whether he thought this would be a good idea or not. You can give the impression of putting on political pressure when you really not. I tend to avoid doing things like that routinely, but that does not mean that it does not work, that it wouldn't work for someone else. Many Congressmen do want to know what requests are coming in from their district,and almost all Congressmen have an agreement with granting agencies that no grants will be given to you without their knowing about it first. In fact, the first person to know about a grant in most every instance, almost unfailingly,is your Congressman. In many cases he will be the one who notifies you that you are getting the grant. So since he has this agreement with the granting agency, you might want to notify him routinely of every grant. I think that is an individual decision that each institution has to decide.

Question: I would like to ask another question along that line concerning lobbyists of grant. You know many agencies who are trying to get contracts with the government have people who lobby for them; and some agencies have people who stay in Washington pretty much of the time, scouting around to see where the money is. They learn the names of the people and they get a lot of contacts. It this sort of thing done? Does it pay off?

I do not think that most educational institutions do this. Whether it pays off or not, I really do not know, but I suppose it must pay off or people would not continue to do it. Usually ours is a society where you do not pay money for lobbyists unless it pays off. Whether educational institutions should do it is a question each one would have to decide as to whether this is worth the money. I do not know; I do not know of any studies that have been made of relative cost vs. relative gain.

I do know that it is usually to the benefit of most educational institutions to designate some one person or one office the responsibility for handling their grants. We have done that at Delgado, and we think it is a financial success. Most of the four year colleges and universities I know do that. Tulane and FSU have an Office of Contracts and Grants. There is a great deal of difference in trying to keep up with grants on a full time basis and trying to do it on a part time basis. Now I am not talking about the lobbyist in Congress; I am talking about a person at your institution. We have Angel Delacroix here who tries to work on this full time. I use the word tries because she has other demands made on her from time to time because we have a vacancy now in our Research and Planning Department. We usually have had two people in there, and we try to keep a really organized approach to grant writing.

You might be interested in some of the things we do that might be helpful to you. This is not about writing grants, but it is about ideas of sources and funds. We keep a tickler file, for example, showing what grant deadlines are going to come up. If there is an agency which is going to have a deadline, shall we say, June 1st, we put a card in our particular file, say March 1st, that states Agency X will have a deadline on subject P June 1st and for us to begin writing the grant request as soon as possible. So we try to keep in mind prospective deadlines and sources. This lets us know repetitively that every July 1st a certain agency is going to have a deadline on a certain type of grant. We may not have a topic to submit

in a particular year, but at least it reminds us to think about it. We do not write a grant on every topic every year.

We try to keep up to date copies of the guidelines from all the major agencies and their application forms and various kits and so forth. So if we need to write a grant we do not have to wait two weeks to get the guidelines and application forms. We try to keep available for the faculty all the various sources of funds available so if a faculty asks "You know where I can get the money to do such and such" we may be able to help him. I think that this sort of organized approach to grant writing is a useful one for a college or university to take. I think it is a full time job for at least one person and a secretary. Now this is just record keeping and some help in writing grants. If you are going to have someone actually do a lot of grant writing rather than help faculty write grants, then you are going to need some more manpower. Is that related to your question?

Yes sir, it is.

As far as the lobbyist situation goes, I have had no experience with that. As I say, most of my experience in writing grants is to try to write it as well as I can, to send it to the right place, and if it gets turned down, to try to send it to another place.

Question: Can you get the guidelines on request, or do you have to have a grant going in first?

No, you can get the guidelines from the Federal agencies on request. You do not have to have a grant. I am glad you raised that question. In most cases they will send you the guidelines without a grant. In a few cases they will not, as in the instance of this mental health generalist, where they would not send us the guidelines or an application until they were satisfied that we were ready to apply. I keep on hand a number of sample guidelines for my class in grant writing, and now that I am going to teach it beginning January, I just wrote a number of letters

to federal agencies asking them to send me up-to-date copies so that the students can look at these and become familiar with them.

Question: Now a remark about the organization for grant writing and who finally does the filing. What I am talking about is that you wouldn't have the person who more or less is responsible for handling the administrative details, filing the information and having to check the files containing the application forms, do the grant writing, too. The person who is actually going to be using the grant money is generally the person who will be doing the grant writing and filling out the forms.

A little bit of both occurs here at Delgado. Angel Delacroix not only keeps the files and tries to interest faculty in writing grants and offers consultation to faculty in writing grants, but she actually does the major part in writing many of the grants. In fact, most of the grants at Delgado, up to now, were written in our office, The Office of Research and Planning. Not all of them, but most of them. So this person has at least three jobs: One, keeping an organized file of resource material; two, stimulating faculty to write grants and offering them consultation in writing grants; and three, actually writing some grants for the school. There are some grants for any particular educational institution which seem to be a school function rather than a faculty function. Now a particular faculty might be interested in seeing an area of environmental technician expand, and may contribute a large part in writing this grant. On the other hand, we wrote a grant for Delgado on a facility study to study what faciliteis the institution might need now and within the next five years. This is not the kind of grant that an individual faculty member might write. It is really something the administration is concerned about, and would probably be written by somebody in administration or in the Research and Planning Department. So we see this particular function as all three things.

That does not mean that every research and planning department has to be set up that way. For example, at FSU there is a Department of Contracts and Grants. It offers these resources; it will consult with faculty who want to write grants and offer them suggestions, but that particular department does not write any grants at FSU, or almost none. It does write a few university type grants, though.

Comment: I think added to that, that this little sheet used at Delgado or going over the grant too might be helpful to some of the agencies.

You mean the routing sheet?

Yes, the Routing sheet.

This routing sheet for grants is an internal device that many agencies use. After we write a grant it goes to various people within the institution for an ok. It needs to be approved by the various people who make sure that any space requirements in the grant are met, any equipment requirements are met, or that it is not going to produce too much of a drain on existing personnel, and that sort of thing. We have a form here and I know other institutions have a form, a routing form of this kind.

I might mention in passing, something I have not mentioned before, that some grants will give you 100% of the cost of what ever you want to do; other grants require you to make a contribution. Some grants require a 10% contribution; some grants require a 25% contribution; and some only ask that you make what is called a commitment. They leave it up to your conscience as to what you can contribute. But they do expect some kind of commitment, which means that when you write a grant the agency has to be willing and able sometimes to put up either some funds or somebody's time, or some space, or some equipment, or some facilities, or all of this. Well, it is only reasonable that the administration at your institution want to know what they are being committed to before you send in a grant. So this kind of routing form makes it clear that there will not be any surprises when

you get the grant and say, "well, now I have got the grant; I need three more offices," and they respond, where are we going to get them?" or something like that.

Before you send in a grant, and this is part of writing it, too, and making it real, many agencies will require some assurances in the narrative that your agency supports this grant. They will require a letter from your administrator; some will require that you get a community committee to support the grant to show that you have community support. Some will require that you consult some of your colleagues to be sure that it fits in with the institution's objectives, that they are not against the grant, and so forth. All of this is part of completing some grants, and if this is necessary, they will tell you in the guidelines. Any questions on this? Or comments?

As I said, the most common reason for grants being rejected is that the grant doesn't fit the funding agency's policies. Many times this does not mean that all is lost. Simply because your grant is turned down does not mean that you should give up. I have seen grants turned down on the first two tries and funded on the third. Sometimes the agency will tell you how to rewrite it. I recall one several years ago, where I wrote a research grant, to set up an experimental plan to study research teaching. I was going to teach one group one way and another group another way and see what the outcome was. I sent in this grant, and the agency said they could not fund the research project because they did not have any money for the research grant, but if I could write it as a training grant and I could use my research design as an evaluation, they could fund it. So I rewrote the grant, indicating it was a proposal to train students in research, and I set up my design so it would be part of an evaluation, and it was funded for three years. Thus, simply because a grant is turned down does not mean that all is lost. Many times the letter of notification will simply say, "We are sorry, we

could not fund your grant." It is frequently worthwhile asking them why they turned you down. In every case that I have known they were willing to tell why. Usually I suggest that you write the funding agency and ask why you were turned down, but you might want to telephone them. They might tell you how to modify the grant to get it funded somewhere else. They may tell you to send it to some other agency. They may tell you to change it and send it to some other agency.

Another reason for not funding a grant is that you may have used too much of a shot gun approach. You have been too vague and nonspecific. The proposal does not sound real.

Another reason for turning down a grant is feasibility. Feasibility of a grant is one of the things an agency will look at. By feasibility they want to know: Do you have or will you be able to get the personnel required? Is the kind of people you need available at the price you are asking them to come for? Do you have the space? Can you get the equipment? If it is a research grant, will people participate in this research? Can you get a kind of sample or population that seems reasonable? They will look at every step of the grant in terms of feasibility.

Another reason grants are turned down is the competence of the research director or principal investigator. Occasionally the granting agency will feel that the principal investigator just does not have enough experience. Every grant must have somebody who directs it. This person is either called the director or the principal investigator. This is not a frequent reason for turning down grants because if that is the only thing that is wrong with your grant, it can be conditionally approved with the stipulation that you get a better director. Or if you have a weak director you can bring in someone as a consultant to strengthen your director--someone with more experience than the director. So this is not a particularly frequent reason for turning down a grant.

Let me talk a little bit about types of grants, something which I probably should have talked about earlier. You can get grants for planning, that is, you can get grants to get grants. The Cooperative Education Grant that we asked for was a planning grant--the first year to be a planning grant, the second year to be an implementation grant, and the third year to be an expansion grant. You can often get a small grant, $3,000 - $10,000, for planning. You can get grants for research projects, to carry on research. You can get grants to do training. You can get grants for demonstrations. A demonstration project usually has to be something new, different, and probably innovative. You can get grants for equipment, for facilities, for program development, development of new programs, and expansion of existing programs. I suppose if you look hard enough, you can find a grant for almost any purpose, if you are ingenious enough. You can get grants to train other people, or you can get grants for you to go into training. All of these, I think, are appropriate topics for grants.

I expect that most of the money that people in institutions are interested in are either in training grants or program development grants. And those are the kind I am going to talk about the most. Are there any questions on anything up to now?

Question: How do you find a source of funds?

In catalogues from the federal government, and catalogues from private agencies. And from a Bulletin, entitled Federal Research Report, which I want to call to your attention. It is published by a private agency in Washington and costs $17 a year. It mentions various sources of funds (private and public) deadlines, and what is going on in the area of research. And then we keep our ears to the ground, talking to people who are writing grants, trying to get information. I think that is all we can do.

Comment: We use The Council for Financial Aid to Education, which lists sources of corporate money. They have an office and they give you publications.

They have several interesting and helpful pamphlets, for example, The Oil Industry and Education. These people keep a list of corporations which aid education, what their objectives are, what amount of money is available, their contacts. We find it very useful. Publications either cost a minimum amount or are free.

The other thing I can mention that I have here in my notes is "Commerce Clearing House, Inc." 4025 W. Peterson Ave., Chicago, Illinois 60646. It puts out two sets of weekly reports, one called College and University Reports, and one called Urban Affairs Reports. It is rather expensive, as I recall, about $300 or $400 a year. We do not get it here at Delgado, but some of the larger institutions might think it was worth the money.

Any other questions about the material we have covered so far today?

Question: Dr. Goldstein, is there something available in these publications that would give you a profile of the organizational agency that you were applying to, something that tells you exactly what they are interested in, for example, the Carnegie Institution, which is interested in turning out research related to the field of education?

Yes, I mentioned a couple of things available on the table, one a private agency and the other The Catalog of Domestic Assistance. They do give you profiles of what sort of things agencies are interested in.

Any other questions?

If there are no further questions, I will begin talking about some of the other material I said I would talk about, for example, how to write the proposal. The first thing you have to decide is what is it you want to do. This sounds like a simple thing to say, but the granting agencies are increasingly asking that you write your goals in measurable objectives. This means that you can no longer say that you wish to develop a training program that will train people in such in such, but you have to indicate how many people you will train, what they will do, what

they will learn, what they will do after they are trained. You have to write your objectives in terms of how you will know whether you will have accomplished your training goal, or how you know you will have accomplished your research goal. For example, I helped write a grant about drug abuse education in one of the counties in Florida. At first we decided that the goal would be to reduce the use of dangerous drugs in this particular area. That sounds like a reasonable goal. But it is not a measurable objective. How can you tell you have reduced the use of dangerous drugs? If you expect, for example, to infer that the number of drugs used have been reduced by a reduction of the number of drug abuse arrests, then you have to say in your objectives that you intend to measure this by a reduction in drug arrest rates. It is the arrest rate which provides the measurable objective. That will be the way you know that you have achieved this goal. In the training grant on Cooperative Education, this is perhaps somewhat simpler in that you indicate that you intend to train so many students per semester, you intend to place them so many semesters in such and such agencies, and so forth. But they do expect you to state this in such a way that you can evaluate it at the end of the project.

This is where it is hard to talk about specific things in an abstract way. If we were in a class where we were actually writing grants I could bring in some objectives so that you could see the differences between some of the generalized objectives and the specific ones. If you have more than one objective in your program, then I think you have to decide which one has the highest priority.

In writing objectives for a grant, besides writing them in such a way that is measurable so that you can know when you have reached them, one often has more than one objective and you must distinguish which one has priority. Indirectly related to grants is the idea that your granting agency objectives cannot simply be a case of getting money, but they must fit in with your overall institution's objectives. If your granting agency representative comes for a site visit, and

finds that your particular grant is going to stick out like a sore thumb, and not fit in with the rest of the things that your institution is doing, then, probably this will be a negative point in getting your grant. This means that some programs that you might want to fund will not have enough support by the rest of your institution to be funded by the granting agency. I will have some more examples of that in the material tomorrow.

One of the things you need to think about when you write your objectives is, what extra time and personnel is this going to require? You need to start thinking about the budget, the cost, and the personnel for the grant right at the beginning. For example, you cannot start talking about a training program without knowing how many people you are going to train. Some groups of people naturally fit into a training program, for example, 30 may be the number of people in a class section. You might want to think in terms of multiples of 30. If 35 or 40 or 25 or 50 is what you put into a class section, you might want to think in terms of training people in terms of a class section. You have to ask if you are going to train people in one field, what else is it going to cost your agency. How is this going to influence your objective?

For example, in the Mental Health Generalist Program, we said we were going to train 30 mental health generalists. This seemed to be how many we could train in one section. This program would make use of certain already established courses plus the creation of certain new courses in the college. We had to develop curriculum. This was a part of the procedure. Once we decided that we were going to have one section of students, we had to keep in mind that these students were going to study English, which is a course already being taught in the college. This was going to require another section of English, as well as other sections of the other courses in the program the students are going into. If these students are going into a course already established in mathematics, it is going

to require another section of that math course. All of this related to the objectives of the grant because it is almost impossible to plan a new program without deciding how it fits in with the old program.

When you write such a grant, you have to start thinking: Am I going to ask for money for these additional sections of mathematics, and English, and psychology, which are already being taught, or am I going to only ask for money for the new courses that I am specifically going to develop for this program? This is where you may need to have a discussion with the administration of your institution and make a decision. There is no point in writing a grant and going any further until you get these objectives cleared. You may write into your objectives that your objective is to train students in the job of mental health generalist. This will include setting up new courses in A, B, and C. For example, we developed four new courses in mental health technology which were not being taught before: Mental Health Technology I, II, III, and IV, one offered each semester for four semesters. In this particular case we talked to the administration and we obtained approval for the grant budget to take care of these new courses but that the institution would take care of the budget for the existing courses in psychology and sociology. This is a cost to the college, and therefore was a contribution to the grant. In this particular case we were limited by the amount of the grant. It was a matter of doing it this way or not doing it at all.

Have I made clear some of the things related to objectives? Do you have any questions related to objectives?

Question: Going back to the first part of your talk, would you submit a copy of your budget with this one or two page summary?

I would suggest you submit the budget if you can get some idea of what the budget is. I think it is a good idea to let the agency know whether you are talking about $10,000, $50,000 or $250,000. But I do not think you have to submit a budget that will necessarily commit you. I think I would usually mention a range. I would say I expect this budget to be between $50,000 and $60,000.

They need to get some idea of what they are letting themselves into, but you can't really develop a budget proposal unless you have thought through the whole thing. I think to some extent whether or not a funding agency will encourage you depends on how much you are asking for. It is generally easier to get a small grant than a large grant.

Some other general rules are that if you are going to write a grant for one year, it is just as easy to write it for three years, or five years. Granting agencies usually have what they call a project period and a budget period. They will usually approve a project or grant for three years, which they call the project period, or five years, or occasionally I have seen them approved for as long as eight years. But they will also have what they call a budget period, which is usually one year. If they approve your grant they will give you funds for the first year. The funds for subsequent years are dependent upon your successfully completing the first year and successfully writing a progress report showing that you have done what you are supposed to have done. Occasionally they will give you funds for 18 months, the first 18 months, starting in December and going to the following July.

Question: What is considered a small grant?

There is no consensus of opinion. To me a small grant is under $25,000 or $30,000. Some would disagree with me. Some call anything under $10,000 a small grant, and say $25,000 to $30,000 is medium sized and $100,000 or over is large.

Question: Should you start out with a small one or a larger one?

I think it is just as much trouble to write a small grant as it is to write a large one, in most cases. I think you need to write the size of grant that you need. If you are a newcomer to the grant writing business, and if your institution is fairly new, I would say start off fairly small. The granting agencies want to encourage them by awarding them grants. But they would rather encourage by risking $20,000 and $25,000 than by risking $100,000. If you are writing your first grant,

I would say it is a good idea to keep it small.

One of the things that helps in getting a grant is to be able to show that you have done something on your own without the grant. If you are writing a grant for an institute, for example, a year long institute, and you have been able to show that you were able to hold a one day institute without a grant, or that you are writing a research project for a big sample of six states and you show that you have been able to conduct a small research project in your own class, all of these things help to get grants. All of these show the granting agency that what you are intending to do is real, not just make-believe. Any other questions?

Question: Earlier you mentioned three year grant periods: the planning grant, the implementation grant, and the expansion grant. Do you submit these all at the same time or each year? If so, how do you establish continuity between them?

This particular three year grant was characteristic of the guidelines of the Cooperative Education Program. It would not necessarily fit some other program. But many other programs do have a similar plan where you submit a planning grant, a beginning grant, and a continuation grant. Usually in your first grant as you write your narrative, you explain what you are going to do; as you are writing your objectives, you say that this grant will have the ultimate objective of developing a continuous program of cooperative education among colleges A, B, and C. You indicate what your ultimate objective will be. You say that the beginning and primary objective is to seek a planning grant. This planning grant will be used for such and such, and communicate what the specific objectives are, that you will hold meetings, that you will travel to various places, etc. These are your objectives for your planning grant. You state who you will plan with, what you will plan, where you will travel, that you will inspect other programs, and so forth. Then you go on to say that in the second year you will propose an implementation grant; "We plan to ask for additional dollars to set up the program, to

employ teachers, to train students, etc. In the third year we plan to expand the program." You outline in your original request what you plan to do each year as part of your objectives.

Your question was well put because it illustrates concretely how you make your objectives measurable and how, when you have more than one objective, you indicate what you are going to do first, second, third, and so on. And the granting agency will look at this and will ask, "Does this seem reasonable? Is he doing first what he ought to do first? Is he doing second what he ought to do second?" and so on. They will look at each step.

If you ask for a planning grant you have to do more than just say you are planning. What are you going to do in that plan, specifically and concretely, that is measurable so that when you are finished you will know whether or not you have achieved it? You are in a much better position if you can say, for example, "There are programs at college X, university Y, and college Q in such and such a place that we intend to visit. We propose that our first visit will be about such and such, our second visit about such and such, etc. The reasons for doing these visits at these times is because we want to make this first visit when they are starting their students in this new program so we can observe the start, the second visit when the students have proceeded in the program to a certain point, and so on." These are the kinds of specificity and concrete things that the granting agency will be looking for to know that you have really thought the program through. There is quite a difference in saying something like that than in saying we would like to have $10,000 and if we get it , we think we will visit five or six schools in the Southeast who have this kind of program that we can observe. You make a different kind of impression on the granting agency when you say specifically what you are going to do. They see what you are going to do; you have justified your request for the grant.

Question: Another question ; after the planning grant has been approved, and the funds have been received, and even spent, the second part of the program

should be the implementation part of it. Having received the first funds, is it helpful in the approval of the second part of the program?

Yes, if you get the first part of a three part program, and you carry it out successfully, you have an excellent chance of getting a second and third grant provided that the funds are avaialble. You will have demonstrated that you can do what you have said you will do. They will already have had an investment in you in planning, and it would be a wasteful investment unless they went ahead and helped you expand it. Therefore, you are in a much better position, though there is no guarantee. It depends on funds, and it is still competitive.

One thing I must talk about here (and this is where I encourage you to ask questions because they stimulate me to talk about things that are not in my notes) is that there is a considerable lapse of time between the time you send in the request for the grant and the time you get the money. As you can infer from something I said earlier, you may send in a request in February and it may be acted on in July and you may get the first funds in January. So if you are working on a three year grant, and you get the first year's grant, you have to start writing the continuation part of it just about the time you get it. The funding agency knows and understands that you may have worked only three months of your first year by the time you have to write your continuation grant, or your implementation grant. But at least you can show them what you have done in those three months, when you write the second phase of it. Another question?

For example, in the department in which I work at FSU, we have several training grants, which are five and six year grants. Each year we must write a continuation grant. We must show what we have done with the previous year's money and what we intend to do with the current year's money. I just finished writing five such grants, and the deadline for submitting each continuation grant was December 1st. If the grants are approved they will come out June 30th, which is seven months away. We have only gone from July 1st to December 1st, five

months, and we have to write a progress report and a continuation grant. I have to show what has been done and what is proposed in these seven more months and what is proposed in the next year. But it is much easier to get continuation grants and successive grants when you get the first one.

I do want to emphasize the pipeline characteristic of grant writing. When you first start writing a grant, you put in your application. It is like putting oil into a pipeline. It takes a certain amount of time for that oil to travel through that pipeline. In the same manner, it takes a certain amount of time for that grant request to go through the agency and for it to be approved and funds given to you. If you have two or three grants in process and they are at various stages in the pipeline, they will be funded at different times . One comes now; two months later another comes, and two months later another comes. you may have sent in those grants 10 months, 8 months, 6 months, even a year ago.

We heard about this environmental technician grant a year ago, which is when we sent it in. We heard yesterday that it is effective for January. So we have to stir ourselves up busily now between December and January in which to recruit and get people ready to start our program. If we do not start in January, all is not lost. Most of the time they will let you start it a little later. Once they give you a grant, and you cannot start your program on the starting date, it is not the end of the world. In most cases they will not take away the grant simply because you are late starting. Any other questions?

Question: Most of the time these grants are written for special purposes, either of a temporary nature or a . . . pump priming nature, and yet incompetent administrators look upon these as supplementary income to their maintenance and operation money. What I really want to say is, if you cannot see your way through to where, if you have got a pump priming project, it would be able to go under its own power, should you consider undertaking it in the first place?

That is a very good question and a realistic one. Granting agencies do see this as pump priming; they do see these programs as stimulating, and they often do require an additional contribution from the college as times goes on. They may require 10% contribution the first year, 25% the second year, and 40% the third year; and then hope that you will take it over the next year. I really think that this is an administrative decision rather than a grant writing decision. I think many administrators say, "How can I see what is going to happen four years from now? If I can get a three year grant, I will do my best to continue it at the end of the three years, and if I cannot continue it, at least I will have had it for three years." And this is the outlook of many administrators, although it may not necessarily be the best. I have seen instances where people were pretty sure they were not going to be able to continue the grant but they still asked for it for three years because they figured they're better off having it for three years than not having it at all.

Question: Would you include in your request the possibilities of your institution taking over the grant?

Most granting agencies will expect you to include that information. There are grants which are pump priming in that they are either demonstration grants, or grants that they expect you to take over, and then there are other grants which they don't expect you to take over and they will continue indefinitely. Most of the present federal and private agencies provide grants which they expect you to take over. I have seen training grants which were granted for six or seven years, and then at the end of six or seven years a proposal has been written for another six or seven years. Some schools would have a great deal of difficulty in operating without Federal funding but they may find that they are going to have to have to operate without some of them, with the present reduction of grant funds.

Some training grants, while they go on for a limited period, are renewable. If they want you to indicate in a narrative that you are going to pick it up, they

will ask for specific things. They will ask how you propose to take this over? Again, they will evaluate your request on how clear and specific and reasonable it is. It is a different thing to say we will take this over with the general institutional budget, which is much too general, and most granting agencies would be critical of that.

It is much better to say we expect in the course of three years to have the following changes in the tax structure; we expect these because of such and such, and therefore, we believe we will have additional income for such and such. Or you might say, that though we do not expect any additional funds to support this grant after it expires, we expect program X to also expire at the same time, and we will divert the funds from program X to this program to continue it. Again, throughout the grant, I cannot emphasize too much how specific and real you should make the request rather than vague and general. The real challenge is to be able to do this without going into great detail. Most grant requests are not two and three hundred page manuscripts; most successful grant requests that we have done here have been under 20 pages. Many of them have been under 12 pages. Some guidelines specify that the grant request cannot be over 6 pages. But even with requirements such as this one I am sure they will not reject one that goes a page or two over. Sometimes requirements are made about the kind of type, the margins, the spacing, how many copies, etc. I have seen grant requests on the other hand, that run as high as a hundred pages.

There are various devices which you can use to keep the grant request size down. For example, there are appendices; most of the guidelines limit the number of pages of the actual request, but you can put additional information in appendices. You can send 50 pages of appendices, if you want to. Now the funding agency may not read the appendices, but you can send them. Sometimes, for example, you will want to send along letters of support, letters of commitment to the grant; you may want to send along a special letter from the administration, or you may

want to send along a letter from your mayor if your project involves something to do with the community, or something related to a particular interest group. For example, when we sent in this Mental Health Generalist Grant they insisted that we have a place where these students could intern, because part of the training program involved internship. This requirement was written into our program guidelines, so we went over to St. Paul's Psychiatric Hospital and other such hospitals to get approval from them to have our interns trained so many hours a week, etc. The granting agency wasn't satisfied that we said we had worked this out; they wanted a letter from the manager of the hospital saying that he had read the grant request from Delgado Junior College pertaining to Mental Health Generalist and that he agreed to such and such as a training center for students, etc. This was included in the appendix. Again, emphasis was placed upon specifics. Any other questions?

Question: Do you see any trends in the area of granting? For example, more technical education grants than academic grants?

Yes, I think there are going to be more emphases placed upon technical education, more emphasis upon training people for a vocation at the two year college and less emphasis upon the liberal arts degree. This is a hard nosed administration which seems to think that it is better to train people for a particular job, something they can earn a living at. If they end up as barbarian engineers, it is not a concern. Any other questions?

Question: If we are to build up resource data, and have one office that has all our statistical data, as much as possible, so that we are in a position to tell a proposal writer from one department things that he might not know about the school in general, we must have a central information center.

That is an excellent idea, and I should have brought it up yesterday. We have found it very useful because many grant requests do require certain background information about the school. For example, we have a standardized statement about

Delgado which we can insert into a grant. And we have it written a couple of ways; we can give you a three-page statement about Delgado or we can give you a one-page statement about Delgado. Many grants require background on the college; many grants require background information about the student body; what percent are black, what percent are low income, what percent from other ethnic groups, and so on. So we do try to keep a central file on that. Some of them ask how many students you have, how many students you had last year, or the year before. How many students do you expect next year? Any college planning to do any grant writing will find such a centralized system valuable. Any kind of data that is repetitive is a great help if it is easily available.

How does one go about getting together such data? I think the admissions office can provide you information on admissions. We have done some follow-up studies on our students here at Delgado; we are in the process of conducting some follow-up studies, one of dropouts, one of students who just graduated, to find out what they are doing, to find out whether what they are doing is related to Delgado, something about their average earnings, etc. This kind of in-house study is material that can be used in writing grants. Sometimes it helps to justify need as well as show background. Any other questions or comments?

Question: In one case we found that one agency in Washington was enthusiastic about the proposal, one office in HEW. But they did not have the funds. Another office in HEW did. It was necessary to have a conference between those two offices. I would suggest for those who should find themselves in that situation that it would be advisable for them to have a representative of their institution try to find this out and then have this representative present at that conference because questions may be thrown to the interested agency which they cannot answer which the institution could.

Yes, that certainly would be a good idea. In fact, any time that you know that your grant is going to be discussed in Washington, if you can find out about

this and have a representative there, it is usually a worthwhile effort.

Mention was made at breakfast this morning about a meeting in Washington next week, a Federal Workshop (the 3rd, 4th, and 5th of December). Does anybody need information about that workshop? It is sort of an open house where the federal agencies will discuss what is available,an opportunity to meet federal representatives, to get a general feel of what is happending with federal funding of programs. The general feeling is a concern for a cut back in funds.

If there are no questions, I would like to use a few minutes this morning to fill in some of the gaps from yesterday's discussion. One of the concerns in the early stages of a project is how to get it down to manageable size. Many times you will have an idea for a project, but it seems to be such a big thing. You cannot figure exactly how to handle it. One way to get such a project funded is to develop phases of the project, break it down into pieces. We talked yesterday about asking for a planning grant, an implementation grant, and an expansion grant. This is one way of getting a large project funded. Another way to break projects down into phases is to propose to do part of it in one project and part of it in another project. For example, you saw our report on the group therapy project where we studied the influence of group therapy on rehabilitation. What we really wanted to know was what kind of therapy helped rehabilitate clients most? But this called for such an elaborate design that we decided to break it down into two parts. First, we asked for funding for a project to determine if group therapy as compared to no group therapy made a difference in our clients. And then our second plan was, if we could confirm in our first project that group therapy made a difference, to have a project to study the various types of group therapy. Here, instead of making one rather elaborate project, with various types of group therapy in the beginning, and setting up a number of different experimental groups and a control group, we set up one experimental group which had group therapy and one control group which had no group therapy to determine if

group therapy made a difference. It did make a difference; if you read that report you will find that the clients were helped by group therapy. So we have now submitted a project to follow this up to use various kinds of group therapy in various kinds of rehabilitative settings. I use this to illustrate how you can try for part of a project. Generally speaking, if you get one project finished that is part of an overall project, you have a better chance of getting the second part funded.

Another point which I left out yesterday is the importance of keeping notes on your ideas. In the early phases of thinking about a project you will get lots of ideas. I cannot stress too much the importance of keeping these notes. When you begin writing the final report, these notes that you had at the beginning will contain ideas that you may have forgotten in the interim. Writing them down makes them available to you. I used to keep a tape recorder by my bedside so that when I woke up at night with an idea I could dictate it. A couple of time when I was fully awake in the morning those ideas did not sound so great. Nevertheless, if you get one good idea out of a hundred, it is like a free idea, and you are that much further ahead. We have found from experience not to throw anything away, because many times ideas that came up at the beginning will come up later, and we can go back to our initial notes on them.

Comment: Labeling and dating notes is also advisable and helpful.

Yes, this is important. The date is important in letting you know whether a particular draft is an earlier or a later draft of the idea. It allows you to know at which stage of the project the idea occurred.

You begin writing the grant request narrative after you have received some evidence of interest from the funding agency, but there are some other things that you need to be aware of as you begin writing the narrative. Many of these things you will see in the granting agency policy, but it is useful for you to know these before you get the granting agency policy. For example, all of the federal agencies

now expect you to sign a form which stipulates equal opportunity for all ethnic groups. If you are doing any research on human subjects, if you propose to give any tests to students, or something like that, you usually have to get approval for this kind of research. If you propose to use certain instruments, to measure and test students, in some cases you have to get the approval of the granting agency for the use of this instrument. All of these are fixed policies of the granting agencies, and there is usually no flexibility in dealing with them.

Another point that ought to be clear before you start writing the grant is who is going to direct it. You should have an agreement with your administrator that the director of the grant is going to have authority to handle the grant. One of the things that bothers granting agencies very much is having grant directors who really do not have authority. If you take on the job of operating a grant project you have to have administrative authority to employ people, evaluate personnel, let them go, spend the funds, budget them as necessary. This doesn't mean that you fight with your higher administrators and feel that you can do just exactly what you want. After all, you are still part of the organization; the question of who is going to have authority should be settled.

Related to that is the idea that the grant is almost always made to your institution rather than to the project director. This means that if the project director leaves the institution, the grant almost always stays with the institution and doesn't move along with the project director. Once in a while, when the project director has a great reputation, or is a very specialized person, or the grant is for a specialized purpose and he leaves a particular institution, the granting agency may permit him to take the grant with him to the next institution. But that is usually the exception rather than the rule.

These two points have to be reconciled. On the one hand, the project director must have authority to handle the funds of the grant, but on the other hand, he must realize that this is the institution's grant and not his grant.

Question: What happens if the director changes institutions before the grant's objectives are accomplished? What happens when there is no director, or at least one that is familiar with the project? What are your problems?

You could very well have problems. The granting agency considers the change in project director as a major change in the project. And every granting agency that I know insists that you not change project director without their approval. However, they are reasonable about it, and if you have a director in your institutions who resigns, and you submit the name of somebody else as the proposed project director to complete the project, in almost all cases the agency will accept this person. There usually is not much of an argument to get another project director. We had an instance here where we had a grant awarded to Delgado, but before the project got started, the person who was going to direct the project got ill, and had to resign. We proposed another project director and the agency accepted him. Such a change is usually a matter of a telephone call. Have I answered your question? Any other questions?

I would like to talk a little bit more about the business of consortia and collaboration in grants, something we went over yesterday, but not in detail. Generally speaking, as I said yesterday, a consortium project is a desirable thing. When you have a consortium project, however, there is the question of who is going to get the grant. The grant has to be submitted by one of the schools in the consortium. It is possible to develop a new incorporated agency to receive a grant, but that is usually the exception. Usually, for example, if Delgado and College X were to go together on a grant, they would make the decision whether the grant would come to Delgado or to College X. So when you think about a consortium, you have to decide who is going to get the money. The money will come to one school, and then that school will pay its personnel and will also pay the people at the other school.

Often in making this decision one considers various strategies. For example, it might be simpler for one school to have the money come to them. They might have a simpler administrative and financial system, and may be able to handle the funds with a little more freedom. For example, I have seen a situation where there was a question of whether one should send in a grant through the university or through one of the state agencies. The university system was a little more flexible, so it was sent in through the university.

Sometimes there are strategic considerations that must be made. Sometimes you can return a favor to an institution by letting them get the money, if this is equally agreeable to everybody. Sometimes you can save time by having one institution take the lead in a collaborative project. These are some of the points about collaborative projects. The disadvantage of the consortium is, of course, the problem of coordination. Somebody has to have final authority in spending the money. It means that one of the institutions must give up a little of the authority to one of the other institutions. There is the problem of distance, travel, communication. These provide a little bit of a problem.

Another advantage of a consortium is that sometimes it assists in getting "third party support." We will talk more about this when we get to budgets. There are three kinds of supports that you can get in the budget. One, you can get support from the granting agency; two, support from your agency; and three, support from someone else. For example, the chamber of commerce could supply this third party support. Or some individual in the community could provide some services free. This could be volunteer services, and could be considered third party support. Sometimes a consortium can bring in a third party that neither agency could bring into the project.

Question: Even though they are not supporting financially, are they still considered third part support?

No, I am talking here about financial support. When the term "third party

support" is used in a budget it means financial support. If this consortium brought in some other kind of support, such as approval and this would help carry out the project in some other than a financial way, this certainly would be an advantage. You might want to carry out a consortium for this reason. But the term third party support usually refers to money. Any other questions on this?

Another thing that you often want to do at the beginning of a grant is to set up some kind of steering committee or advisory committee. When I say, "at the beginning of the grant, I am referring to the beginning of the writing of the narrative of the grant. Many of the agencies encourage you to set up an advisory committee. There has been a great deal of emphasis lately on the use of consumers of services on these steering committees. Agencies generally take a much more favorable view when you have an advisory committee which is made up of consumers of whatever it is you are proposing to provide. For example, if you are proposing to provide education to a particular type of student, you will probably enhance your chances of getting a grant if you have students on your steering committee, and if you can show that you have student input. For example, when we sent in our request for our Co-op Grant recently, we developed a steering committee on which we had some students. We were successful in getting a letter from the president of the student organization saying that as far as he knew the student organization approved of the idea of a Co-op program. This sort of student involvement is generally considered an important thing by most of the granting agencies. If you have a grant that involves the community or some industries or some people outside the institution, then they should be represented on this committee.

I think you will find these committees helpful; I am not just suggesting these committees because they enhance your chances of being awarded a grant, but because they can be helpful in planning the grant, in finding jobs for the students,

and many of the funding services for training grants now want to be assured that if you train students for a certain job that there will be jobs available for them after they complete the training. Many of the federal agencies have been criticized for training people for jobs that were dead-ends in that so few people went to work. So I think you will find this steering committee useful and helpful. Any questions on this?

Now I am going to talk about the relationship between objectives and procedures. The next section of your narrative--visualize your self as having written your objectives--is on procedures. How are you going to do what you have said you are going to do? My best suggestion for writing procedures is to try to visualize what you will do first if you get the money? Visualize yourself in chronological order carrying out the grant. This is a place where your steering committee can help you. I think you can use them as a sounding board, and you can discuss with them what you are going to do if you get the grant. You can practice your ideas on them. I find it helpful when writing a grant to have somebody that I can use as a sounding board to ask if they see any holes in my plans whether I have left any stages out. This is how I suggest you go about beginning to write your procedures.

Break

While we had a break, I obtained the address of The Council for Financial Aid to Education, 6 E. 45th Street, N.Y., New York 10017. Another grant source bulletin is The Federal Research Report which is published by a group whose address is 104 S. Michigan Avenue, Suite 725, Chicago, Ill. 60603. It costs $20 a year and is published twice a month. We find it helpful in that it tells us what new grants are available; it tells us about deadlines for grants, and it gives a good deal of material about what is happening on the federal scene. The group which publishes this journal does it for profit. From our experiences we have found that the material included is valid and useful. It was formerly put out by a group

based in Oregon, but has recently been taken over by the Chicago group. It is almost a must for an institution who is beginning to get a grant writing program underway.

I will now come back to discussing grant writing procedures. Obviously the procedures that you write in your "method of procedure" section should be the ones that will fit with your objectives. Although I say that is obvious, it doesn't always fit together as well as it should. If you have one objective there will only be one set of procedures. If you have more than one objective, there may be a procedure for each objective or there may be one procedure for reaching them all.

For example, let's say you are writing a training grant for rehabilitation in which you will have a number of procedures all aimed at increasing the number of persons available in the rehabilitation field. Some persons will be trained in counseling, some will be trained in working with the handicapped, some in working with the aged, and so forth. It might be that you would have a set of procedures for training each of these different people. They might take some courses in common, and they might take some different courses. The more operational and the more specific you state your procedures the easier it is for someone to see how your procedures fit your objectives.

In talking about procedures it is difficult to talk without talking about objectives, so I will be talking a little bit about both. Sometimes the objectives almost seem to be procedures, in that some objectives seem to be means to a certain end. For example, if you say that your objective is to set up a training program to train child care workers, which is something we were working on not long ago, the reason you want to train child care workers is to meet a need in the community. It would probably be better if you stated that your immediate goal is to train child care workers and that your ultimate goal is to provide better service to the children in the community. You really have two objectives. But you are training these people, not just to be training them, but training them to do something

so your real objective is to meet the problem that you are training them for. When you write your procedures, you should be sure which are a means to and end, and which ones are ends in themselves.

Are there any questions about procedures? It is difficult to talk about procedures in the abstract without actually writing a grant. But if you have any specific questions about procedures maybe they will help to bring the specifics out.

Question: Dr. Goldstein, this is where I think I might ask you a question again, out loud in the group, about zeroing in on certain kinds of unmeasurable sort of objectives. I was talking with you yesterday about student activities in so far as our position here at Delgado is concerned. We need something to enrich the student personnel services. When you are talking about things like that, I think it is very difficult to show quantifiable measures of any kind of what you hope to achieve.

Yes, I think it is, and yet you have to keep in mind that you do not want to increase the student personnel services or the student counseling services and student activities related to counseling as an end in themselves. That is not the objective of your grant; you are not trying to increase the student counseling service, but must ask why do you want to increase them? You want to solve certain kinds of problems. So the objective of your grant will be to solve these problems by means of increasing the student counseling services. Now you have to stop and think, what kind of problems are you going to solve? You have to ask yourself some really tough questions, for example, why do we have counselors? What do they hope to accomplish? Do I hope to reduce the number of dropouts? If you expect, through counseling to reduce the number of dropouts, then one of your objectives is to reduce the number of dropouts. In your procedures section you will have to explain how your counselors will reduce the number of dropouts. It is not sufficient to say that your counselors will counsel with students. I

think certainly that is part of it, but you might want to say that you expect your counselors to develop certain financial resources to help students, since experience shows that many students drop out for financial reasons. And again, you should, as specific and concrete as you can, state what your counselors will do; when you come to your objectives, they might include the aim of reducing the number of dropouts by providing financial assistance to help or reduce the number of dropouts by helping students solve some of their family problems. If you think that as a result of your counseling services that students will be more satisfied with their lives, then perhaps one of your objectives is to give the students a better source of self-satisfaction.

When you come to your evaluation of whether you have reached your objectives you might want to measure whether less students have dropped out or whether your students really are better satisfied. You might want to give your students some kind of scale that measures whether they are more satisfied, comparing a group of students who have not been counseled with a group of students who have been counseled. So you can take some of these things which are hard to measure and pin them down operationally. You must ask yourself some difficult questions, like what do these intangible services accomplish? If they increase somebody's self-concept, then there ought to be a way of measuring it. If you can measure it, then you can use that in your evaluation. That is what I am going to talk about next, the relationship between objectives and evaluation.

Some of these things are quite difficult to measure. For example, in the study of group therapy, we considered that one of the objectives of family group therapy was to increase the student's job satisfaction and his self-concept. We did find, developed at the University of Minnesota, a scale of job satisfaction, which alleged to measure how satisfied a student is with his job after he goes to work. This was helpful in evaluation. Perhaps a grant like the one you have in mind might require a follow-up; sometimes there may be a latent advantage, one not

manifest at the time of the program. Maybe the advantage of this program will show up a year later, or two years later. If this is likely, your grant should say this; if it makes sense, if it fits in with reason, then your granting agency will accept it. Somethings are more difficult than others, but not necessarily impossible. Just because you are dealing with intangibles does not mean you cannot measure them in tangible ways.

Now there would be some who would say that there is more to job satisfaction than what job satisfaction scales shows. I would not argue with that point of view, but at least you have measured some aspect of it by the job satisfaction questionnaire.

Any other questions along this line? That was a good question because it forces us to push the major goal backwards to look at why we want to accomplish it. It is like the one we did on training child care workers. Why do we want to train these workers? We will certainly get some satisfaction out of training them, but we really want to train them because there is a need for them in the community. The granting agencies are increasingly demanding that you show there is a need for the people you are training.

Procedures will be discussed more as we talk about evaluations, which is what I am going to do now. If there is one thing that many grants are weak in, it is in evaluation. Evaluation requires some knowledge of research design, and many people who write grants, and understand how to develop training projects, have a good deal less skill in writing evaluations, or planning how to evaluate the outcome of a project. For this reason I may spend more time on evaluations than on procedures.

In the first place, I think there are three kinds of evaluation you can make of a project. I will name them in the order of least desirability first. The first thing you can evaluate in a project is how much effort you put into it. You can list how many publications you gave out to people to read, how many hours of

classroom time you held, how many hours of counseling you provided; these are measures of effort. Essentially, they are "look how hard I worked" evaluations, a statement to the effect that "I have been pretty busy." I do not mean to depreciate an evaluation of effort, but it is only part of the kind of evaluation that most granting agencies want.

The second kind of evaluation is an evaluation of process. How do you know that your program was successful? Process evaluation will answer this question by showing that you did all the right things. You went through the right process, the correct method. You hired somebody who was well trained, and this person taught a course the way the course ought to be taught. A good example of an evaluation by process would be the way adoption placements are evaluated. You ask a social agency whether they have a good adoption program, and they will say we know we have a good adoption program because we do all the right things. First we hire workers that are well-trained; and then we interview all the people who come in for adoptions, and we try to match very carefully the characteristics of the adoptive parents and the adoptive children. We match them in all sorts of ways; therefore, we know we are doing a good job. If you ask them how the adoptions turn out 20 years later, most of them couldn't tell you.

They are, therefore, missing the third and most important kind of evaluation, and that is the evalution of outcome. What happened as a result of your project? How are things different? To simply say that you have trained x number of students is certainly one way to evaluating your project. To say that 80% of the students in this program have graduated is certainly one way to evaluate a training project. But it is not nearly as effective with granting agencies if you can show what happened as the outcome, other than the fact that these people graduated. Did they go to work? What kind of work did they get? How much are they making? How satisfied are they with their jobs?

In planning an evaluation I suggest that you try to include all three aspects: that you indicate how much effort you put out, that you show the process that you have gone through, and that you also show some outcome. I will stop here to see if you have any questions.

Question: One requirement that some of these agencies ask for is the adaptability of your program to other schools throughout the nation, even to the whole process of education. That is a hard one to show, and I am sure you have run into this, too. We want a program that will be adaptable to all the school systems.

That is a very hard sort of thing to evaluate until you have actually tried it somewhere to see how it works. Again, the next best thing you can do when you cannot evaluate an outcome like that, is to try to show and pin down why it will work some where else. Or how it could be modified to fit specific conditions. If there is something different between your school and another school, you show how the program could be modified to fit the other school. I think that is all you can do in a case like that.

Within that framework, then, if you have four objectives, it should be clear in your evaluation that you are evaluating each of these four, that you have a method of evaluating each of the four objectives. If your objective is to provide a training program that will be more economical than some other training program, then you need to show how your training program will actually save money.

The best kind of evaluation, of course, is an experimental situation where you have a training program which is training students one way that is compared with another program which is not using that method of training. You set it up just like an experimental design. Whenever you can set up this kind of experimental design or evaluation you are a lot better off than if you just have one group and you find out what happened to them. Without a control group, you simply have to assume that they are different because you trained them, and that had you trained them in some other way they would be different still. Sometimes it is a good

idea to think of some experimental plan.

All of this does not mean that simple evaluations might not be okay in particular situations. For example, if you have a planning grant and your objective in the grant is to plan a program, then all you can say in your evaluation is that the program is planned, and you can indicate what you have accomplished, and that you are now ready to implement the program. There is nothing more you can say in this sort of instance.

When you are engaged in evaluation, I think that the part of your grant which covers evaluation ought to include six or seven items. You should show in your evaluation where you are going to get the data or material that you are going to use in the evaluation. Are you going to get the data from the students you trained? Is it going to be from some records? Is it going to be from the teachers? What is going to be the source of the information you are going to use in the evaluation? You should show how you propose to gather this data. Are the students going to be given questionnaires? Are they going to be interviewed? Are you going to ask the faculty to write reports? How are you going to get the material from the source that you are going to use?

Third, I think you should show who is going to collect this information? Are you, as the director of the project, going to collect it? Is it going to be collected by a research department in your institution? Are you going to hire somebody to collect this data and do the evaluation? Sometimes a granting agency will like you to hire an outside agency to do the evaluation. Some granting agencies think that by hiring an outside firm to do the evaluation a more objective evaluation will be gotten. I do not necessarily hold to that point of view. I think that hiring an outside agency has certain advantages, just like hiring an outside grant writer; the disadvantages are the same. People who come in from the outside often do not know what is going on in your institution, and they can sometimes make some very naive errors. I would suggest that in most

cases you propose to do your own evaluation.

Another thing they will ask for in your evaluation proposal is, "What you are going to do with your evaluation material? Are you just going to make an evaluation and report it, or are you going to use the information from your evaluation to feed into the project and modify your training program?" Many agencies feel that the best kind of evaluation is where it is an ongoing kind of thing; you are evaluating it this year, and then modifying your program on the basis of it. We have a training program for deaf students which has been going on for five years. It has been using this kind of feedback evaluation where each year we have been evaluating the success of the program and then making changes in the program based on the evaluation. This is generally considered to be the best kind of evaluation.

The last thing a granting agency will ask you about evaluation is whether you are going to keep it to yourself or whether you are going to disseminate it to other agencies. In many cases they will ask you to report your findings to other agencies. This point will often be stated in the guidelines. To dissiminate your findings to others will often enhance your evaluation. You show how your material can be used elsewhere. This will in some cases also enhance and accentuate your chances of getting a grant.

These are some of the highlights about evaluation. I will pause here to see if there are any questions or comments.

With no questions coming, I will use here as example a drug abuse program which I was recently active in to show some of the various steps and stages in evaluation. This was an organization which got some funds for a program to educate the community about problems in drug abuse. They put out a lot of literature, circulars, television and radio programs, and so forth. The question is, how do you evaluate the success of such a program? The first thing you can do is make an evaluation of

effort. How much time have you had on the radio? How much time have you had on television? How many bulletins and pamphlets have you mailed out? The next thing I think you can do is try to find out how many people have listened to the radio and television announcements. How many have read your pamphlets? Then the next step along the line is to find out what the people have done after they have listened to the radio and watched the television and read your material. Has there been any change in their feelings about drugs? The only way you can do this is to have some kind of questionnaire to question people before you send out your education, and question them after. The same thing would hold true if you had a training program or institute. The only way you can tell whether people are different afterwards is if you test them before.

This little red book here about our teacher training institute was evaluated only on an after basis. We asked the teachers how much they had learned. We asked them to report on the various things they had learned in the institute. This is not as good an evaluation as it would have been had we tested the teachers before we had given them the institute, and then tested them again afterwards. Whether they would have been willing to be tested at both places is another question. This is another issue you run into as to how well you can carry out what theoretically may be the best evaluation. Any questions on this?

My next topic is budgets. The budgeting of grants is something on which you can spend much time. I think the budgeting of grants is one of the things on which you can use consultative help. Many things in grants require experience, and if you are new at the game, the best approach is to find someone experienced who can tell you what various things will cost. In setting up a budget, I usually suggest that people come at this inductively, from the bottom up.

First I think you have to figure out how many people you need, that is, your personnel needs. Every grant has to have a project director; somebody in charge of it. But you do not necessarily have to have someone who works on the grant

100% of his time. The project director can be a part time person. Generally speaking, in a small grant, under $30,000 or $40,000 many agencies will question a full time project director who is supposed to do nothing but direct the project. They will question whether there is enough work for him. Most agencies have what they call certain standards about what percent of your money can be spent for administration.

The Office of Education, on many of its budgets, will ask you to calculate what percentage of your budget is going to administration. They almost give you the impression sometimes that the money going for administration is wasted. I do not actually believe that they mean to convey that, but they do seem to imply that you should keep your administrative costs down, and spend your money for training costs, for teachers, and those sorts of things. Now into the administrative cost is put the cost of the director, a secretary to the director, and any kind of assistant you might have to the director. A general guide is to keep your administrative costs down as low as you can. In a small grant, for example, when we sent in the Mental Health Generalist Grant(which is a $30,000 grant), we have a full time director, but it is also clear that he will do considerable teaching. He will be spending about two-thirds of his time teaching. Only one-third of his time goes for administrative costs.

In writing up your budget, each agency will ask you to make what they call a budget justification, where you will need to justify all the funds in your budget. While budgets are important, it is rare, I think, that a grant will be turned down for financial reasons alone. If you ask for too much money in the grant, the agency will negotiate with you. They will say, "We like your project, but you are requesting too much money," or, "we haven't got that much money." Or sometimes an agency will tell you that you may submit this grant, but you must keep it within a certain amount. On the Mental Health Generalist Grant, for example, we were told to keep it under $30,000. If you ask for $31,000, you are simply wasting time.

This means that this agency has earmarked $30,000 for a mental health generalist grant from somebody. They may be encouraging there or four people to apply for that grant, and each of them has been told to keep the budget under $30,000.

Would you like to raise some questions about budgets and finances?

Question: Will you discuss the problem of furnishing matching money and the possibility of payments in-kind, say for example, services, utilities, space, and so on?

I will talk about that now. Some grants require that you put up a certain percent of the budget; some grants do not. When you are asked to put up a certain percent of the budget, you may do that in at least three different ways, or maybe four. First of all, you may put up this much money from your general institutional budget. Second, you may commit so much of someone's time to this grant; you may have a teacher, for example, who is being paid $10,000 a year, who will work on this grant part time and therefore will contribute $5,000 of this teacher's salary to the grant by using his time. The third way that you can contribute to a grant is "in-kind." In-kind contributions are not cash, and what one agency will permit, other agencies will not. But there are some general rules. For example, I was consulting with a group in Florida recently who were developing what they call a "Meals on Wheels" program for aged persons who are homebound and who cannot go out to eat or have no facilities to prepare their own food. This organization prepares a hot meal and delivers it to the elderly people by volunteers, for which the older people pay a very nominal cost. To get this program going requires that they put up 25% of the budget. This is a volunteer group, so unlike a college institution, they have no budget. They are permitted to use in-kind contributions. For example, there is an attorney who has volunteered to provide some time to them, and whatever he would cost them, if they employed him, can be considered a contribution to their budget. I have agreed to help them with the evaluation of their program as a contribution; therefore, they can put into their

budget whatever I would have charged for that evaluation if they had employed me.

These are not actual moneys that are put up, but equivalents. These kind of in-kind contributions can be made by colleges and universities, too. You can find somebody who will come in and provide consultation or advice or administration, and you can show that as a contriubtion in your budget as though you had actually put out that money. There are a couple of cautions that must be made in that regard. Most agencies will not allow you to count this volunteer service unless the person is working. In other words, you cannot get some housewife to come in and volunteer to help you with secretarial work and count that as contribution becuase ordinarily she is not on a paying job. One of the cautions is that persons volunteering in-kind services must be employed in paying jobs.

In illustrating how a budget is set up, I will draw three columns on the blackboard. In the first column is the total amount needed; in the second column is the institutional contribution, and in the third column is the grant amount required. Let us say, for example, we have a director who is required 100% of the time. Let's say the director is going to make $15,000 a year, and the institution will provide $5,000; there will be $10,000 in the column requested from the federal agency or private agency. Then you might have a consultant, a legal consultant; you might feel that his services are worth $1,000 a year. You show this amount as both a cost in the first column and as an institutional contribution in the second and nothing from the federal government as a requirement. This $1,000 for the legal consultant, and a $500 fee for an evaluative consultant, which is provided by the consultant; these two sums, $1,000 and $500, are how much you would have to pay if you actually had to pay for these volunteered services. No money actually changes hands, but when you add up your grant--$16,500 needed; $6,500 as an institutional contribution--then you ask for $10,000 from the federal govenrment. Thus, these in-kind services help to increase the amount you are contributing. In this case, let's say the agency was not going to provide the $5,000 toward the

director's salary, making $15,000 needed from the federal agency; you would still have $1500, or almost 10% of your total contributed by in-kind services; if your agency required that you provide 10% of the total funds, you would almost have that amount in in-kind contributions. In fact, you would have the 10%, since it would be based on the $15,000. Are there any questions about this in-kind? We have found here, for example, that some agencies will permit us to count the cost of record keeping by our financial office as a contribution.

I want to talk a little bit about what we call overhead costs. In-kind contributions are ways you can find money to meet matching funds without actually having to put up with any money. Any questions?

Question: Could you use facilities?

If facilities are donated to you, let's say someone lets you use two rooms in a building for a classroom, and it would cost you $300 a month to rent these facilities, then you would count $3,600 as the cost of these two rooms, and you could count that amount as an in-kind contribution. But that amount could also be considered third party support, just as the legal and evaluative consultants could be. But it is also in-kind support. Again, you would count $3,600 as the cost of those two rooms, $3,600 as an institutional contribution, and there would be no request from federal source. You would add this $3,600 both to costs and to what your institution had contributed. When you write your budget explanation(and you have to have such an explanation), you explain that this $3,600 is not real dollars, but in-kind contribution of two rooms.

Question: If you are asking somebody like a legal consultant or evaluative consultant to make a contribution in kind, can you say to them, "This is to your advantage, you can take it off your income tax?" That seems to me to be a question you should be ready to answer for them.

It is a good question, and I am glad you raised it, but they cannot take it off their income tax. For them it is an in and out contribution, just as it is

for you. You are taking in a $1000 and paying out a $1,000. If your consultant donated $1,000 worth of time to you and lets you take the $1,000 cost, he has to break even on it, too. Otherwise the government would have to give him a deduction on money he doesn't actually receive. He is not receiving $1,000, so he cannot take a deduction for that amount on his income tax. Income tax rules are such that you cannot deduct volunteer time. If they did, I suppose there would be much more volunteer work than now. The income tax rules permit the consultants to deduct any expenses they incur in providing consultation. He can deduct travel, should he travel to your institution and actually put out money. If he gives you equipment, or if he is a medical consultant and gives you medication, he can deduct the cost of the medication, but he cannot deduct the cost of his time. It is just a paper transaction, really. I am glad you raised that question, because I wanted to mention that point. Any other questions?

I would like to mention some other points about budget. The salaries you pay on grants must be commensurate with the salaries that you are paying throughout your institutions. People hold the fallacy that on a grant you can make more money. This is not true. You can pay somebody more money on a grant if he is taking on more responsibilities, and if you can demonstrate that he is doing this. For example, if you have a teacher who is making $10,000 a year and he then takes on the directorship of the grant, for say, 25% of his time, you can show that he now has administrative responsibility and ought to get $11,000 or $12,000, some kind of increase because he's taken on additional responsibility. But you cannot pay, out of a grant, more money for the same kind of work. If you have counselors who are making $8,000 a year, then you have to pay $8,000 a year for the counselors on the grant. This is a wise provision because it can cause great morale problems at an institution if people on grants are making more money than the people not on grants.

Like everything else, there are some exceptions. Wherever there are rules, there are exceptions. Grant money is considered "soft money," as compared to the

money from your institutional budget, which is called "hard money." People who are on soft money are considered to have less security than people who are on hard money. It is assumed that if you are on your institutional budget this year, you will be there the next year, and the next year, and so forth. On the other hand, the grant is for a limited period, for two or three years; and sometimes you can justify an increase in salary because of the insecurity of being on a grant, particularly if you have to recruit somebody from a distance. If this particular project is going to require a specially trained person, and if such a person with this kind of experience is hard to find, you will probably have to bring in somebody from a distance, and therefore you will have to offer a higher salary. Such was the case with this Cooperative Grant, which we just sent in. The director of the grant, who as far as we could find, was not someone we have on the campus, needed to have a lot of experience in business, in industry, and certain background in counseling and education. In fact, we originally said we would seek someone with Ph.D. degree. Because of this we asked for a certain salary with these points in mind. If we cannot find such a person, we will find someone less qualified, and pay him lower salary.

These are some of the limitations about salaries in budgets. Some other limitations are that you cannot be paid more than 100%, except in very unusual circumstances, in which case the granting agency must give specific permission for overtime. If you are 50% teaching, then you cannot be a director more than 50%. You cannot be a director for 75%. The exception to that is in consultation. Here there is a rule that you can consult for another institution, but you cannot consult for your own. You can be 100% on a salary from one institution, and become a consultant at another institution, but most agencies will not pay you for consultation at the school for which you work. This, I suppose, is to prevent people from side-stepping the rule about working more than 100% on a grant. Any questions about what I have said up to now on budgeting?

Question: You are planning to go into overhead costs?

Yes,

Question: What about fringe benefits?

Yes, I will talk about those.

Let's go into overhead costs. Any grant that you write will have some cost to your institution other than salaries, wages, supplies, etc. Any grant will have what is called overhead costs. Overhead costs include such things as lights, janitorial services, heating, maintenance and repairs, financial record keeping and on-going expenses of that kind. While it is true that those expenses are going on, whether you have a grant or not, most granting agencies are willing to accept the fact that a grant will probably increase janitorial services, as you will have more personnel around to get things dirty; that a grant increases your electric bill as the lights will be on a little more; there will be an increase in your repair bill as people will use up your supplies and equipment more quickly, and so forth. Most granting agencies, therefore, are willing to give you overhead costs after you have figured your budget.

Overhead costs in a training grant are almost always limited to 8%. Most limit to 8%, though we have had some here with a limit of 12%. These costs are negotiable in some cases. If your institution has not already developed an overhead cost rate, you ought to work out one with the federal government. There is a form you have to fill out, providing certain information about your budget, your university or insitutional budget, and you work out this overhead cost rate which will be used on all of your grants. We are in the process of working this out here at Delgado. In the meantime we have some temporary arrangements.

It is to your advantage to work out this overhead cost rate because when you get this overhead money, it is your institution's to use as it sees fit. You can, for example, if you have 12% of a $100,000 grant, put that in your general budget, and if you already have enough in that budget to cover overhead costs, you

can use the $12,000 to hire a new faculty member, or pay part of a couple of people's salaries. Overhead costs should always be included in a grant; if you have not derived an overhead rate you can include an estimate of your overhead costs. You can say you are estimating an overhead cost of 15% until you can get a rate established. If you do not include an overhead cost when you write your budget, they will probably not give it to you later. If you do not ask at the beginning, it is too late to get it later.

Question: Are office supplies included in overhead costs?

No, office supplies are not included in overhead costs. Overhead costs include such things as maintenance, utilities, repair of buildings, janitorial services, financial record keeping and so forth.

What I did not mention here about budgets is that budgets will have four or more categories. There will be a personnel category, a supply category, a travel category, and an "other" or miscellaneous category. The supply category includes supplies and equipment.

Question: Would consultation be a separate category?

No, it would usually go under personnel, but sometimes it is included as a separate cost.

Question: Where would communications costs, such as telephone calls, fit in?

That usually would be included in your "other" category. Sometimes it is put under travel. But most of the time it is put under "other." Computer analysis of data would also go under "other."

The categories that you will use will be those in the guidelines. Each agency's guidelines may have a little different set up of categories for budget. The four I mentioned are the usual ones. And if they do not give you categories, those are the ones I would recommend that you use. Additionally, of course, would be the overhead costs. Some will expect you to put consultation separate; others will expect you to put it under personnel. Under personnel you will have your project director, your secretary, your teachers, your counselors, and whatever

other type of personnel you are going to use. Any other questions?

Question: Is the overhead cost rate figured on the basis of the personnel costs, or on the basis of the total budget?

Sometimes it's figured one way, and sometimes it is figured the other way. The overhead costs are sometimes a percent of the total budget, and sometimes it is a percent of the personnel budget. For example, at Florida State, all training grants are 8%. But for all research grants the rate is 43% of all salaries and wages. The reason for this 43% of salaries and wages is that Florida State has been able to show the federal government that this is what their overhead costs actually are. The 8% for training grants is a national figure that is usually granted without any particular discussion.

Question: If you ask for any more than that 8%, is it strictly a negotiable matter with the agency?

If you try to get more than 8%, it is strictly a matter of negotiation. We have a 12% overhead cost in one grant I recall which was negotiated. This was a grant we were involved in with the Southern Association, and I think they negotiated this rate.

Question: Unless it says 8%, you do not put it in the budget? If it says 8% you are limited to that amount. If it permits you to negotiate it, you negotiate. Now one thing about overhead costs is that if you can show that your overhead costs are more than the agency allows you, you can show that as a contribution form your agency. Many people do not know this about grants. Let us say you can show that your overhead costs are 22%. The agency will only allow you 8%. Then you can take 14% of the grant and show that as your contribution in your institution's contribution column. This holds true for almost all agencies, with a few exceptions. For example, if your grant comes to $100,000, and your overhead costs are 22%, and the agency only allows you 8%, then you can show 14% or $14,000 as your agency contribution, and you already have over 10% of your grant as your contribution without putting out any additional cash. Many

institutional grant offices are not aware of that; I happened to learn of that by talking to a person in an agency by saying that we were having a hard time of coming up with our contribution. I was told to use the excess of our overhead costs to meet this amount.

Comment: That is an interesting point that you have made. We have for several years figured our overhead cost rate at 34%. But unless the proposal has been for research, we have been told to stick to 8%. From what you say, we could use our negotiated overhead cost rate of 34% and take the difference as an allowable contribution.

In many cases you can; in many you cannot. I think that in a case such as that I would call the agency to find out if I could do such a thing. That is a point not well known, and perhaps not well advertised because the agencies have not made it known.

Question: Would modification or renovation of facilities be included in any one of these four categories?

Modifications of equipment and facilities may sometimes be included in some grants, and may not in others. The guidelines for grants vary a great deal on three things: they vary widely on what they will permit you to do in terms of modifications and renovations; they vary widely in terms of what they will permit you to buy in the way of equipment; and they vary widely in terms of what travel they will permit. These are the three things that they vary the most in. Some grants will permit you to put up partitions, change offices, move walls, and things like that. Some may not.

Some of the regulations will seem almost idiosyncratic in that they will not permit you to move walls or renovate buildings, but they will permit you to rent buildings, which might cost just as much. The government's reasoning behind that is apparently that after the grant is over you have that building renovated. If

you rent a building, you get no benefit afterwards. Some of them take the same viewpoint about equipment. They will not let you buy equipment that will last beyond the life of the grant. Or if the equipment lasts beyond the life of the grant you have to agree to give it back, or put it up for bid, or do something about it. In other cases you can keep equipment. It varies very much from one granting agency to another. Frequently you will have a stipulation that you cannot buy the equipment, but you can rent it, and after the rental period is over you can buy it for a very reasonable rate. But you cannot buy it with the grant funds. Your institution has to buy it with their own funds. You get depreciated equipment which you have used, and therefore know what sort of condition it is in. All of this is perfectly legal and within the rules. Any other questions about this sort of thing?

Question: Would a modification to a room be considered as part of your contribution to the grant?

In many cases it can,where you do something to a room or building where you put out actual money or it is done in-kind. Again, each agency will have its own guidelines of what you can and cannot do. You need to read them carefully. Any other questions?

If there are no questions, I will give a few more details about budgets. I mentioned yesterday that there is a project period and a budget period. You may be awarded a grant for three years, which is a project period, with getting money only one year at a time as a budget period. You will be asked to make out your first year budget in detail. For every item on your budget you will be expected to have an explanation on your budget explanation page. The best way to keep your budget from being cut is to have a good justification and explanation for every budget item. If you have travel expenses, and travel is one of the things federal agencies and even private agencies look at carefully, to simply say that you need $1,000 for travel in this grant will probably cause them to question the

request. But if you say I need $1,000 for this grant, and then on your budget explanation page you say that this $1,000 will be spent on one trip to Washington to discuss the plans for the progress report, one trip to such and such an institution to obtain information on how to plan this program, one trip to another institution where you will get information on how to carry on this program, and you have verified the air fare and the per diem costs, and so forth, you are in a much better position to get the travel funds allocated to you than if you simply ask for travel funds as a lump sum.

The first year's budget should be made out in detail and justified as much as you can. It is just like the rest of the grant request, where you made as specific as possible your requests and information.

Presently, the federal government is cutting almost every grant request that it gets. I do not know of anybody who has gotten their full grant request in the last year or so. I do not know whether your experience has been along this line, but most of the grants have been cut 5% to 10%; one gets the suggestion that this is an across the board procedure.

Question: If you write a budget for a training program of some type, and you put into the budget one teacher for $1,200 and the institution employs the teacher for $900, what happens to the $300 difference?

That is a good question, and it has a general answer. A grant is given to you on a year-by-year basis. Let's say at the end of the first year you have $500 left of that teacher's salary, you have $200 left in your supply category, and you have $100 left in your travel budget. You have a total of $800 left in your budget. This is the first year of a three year grant. Many agencies will tell you to carry that money forward, and they will reduce the next year's grant by $800. In some instances, they will not make this reduction. If it is the last year of the grant, they usually expect you to give them back the money. Grants usually have a condition to them in that if you have money left over at the end of the grant, they expect

you to give them that money back. If you run short of money, the only way you can get extra money is to ask for a supplemental grant. Sometimes this is possible.

Comment: For instance, if you save $500 on the teacher's salary, and run short on something else, can you simply transfer that money to other functions?

In some cases you can. This depends on the granting agency's rules. Some agencies have category controls. Within a personnel category you can spend that any way you want. You can give one teacher $300 more one year if you give another teacher $300 less. In such instances, you cannot take from one category and give to another. On the other hand, if you find that you are in a spot, and you need some money in personnel, and you have some money in travel, you can contact the agency and get approval to make a transfer of funds. The Social and Rehabilitation Services of HEW permit you to transfer 25% from one category to another without approval. If I have $10,000 in the personnel category, I can take $2,500 and put it somewhere else.

There are usually very strict rules about putting money into the travel category. The federal government feels that there have been abuses of the travel money. You can more easily get permission to transfer money from travel to personnel, but less easily get money moved from personnel to travel. In some grants you can make transfers without getting permission, and in some you cannot. But I have never had an instance when I have made such a request for a transfer between categories where I have been turned down. Has anyone had the experience where you have been denied permission to make transfers?

Comment: I have, especially manpower proposals where you could transfer almost any category except equipment.

Comment: In any case can you transfer out of the program into the school budget?

I have never known that to be possible on a grant. What you can do frequently is to get an extension of time if you have money left. Let us say your budget

originally ended June 30th. At that time you still have $3,000 in your budget. You can usually get permission to use that money over the next 90 days, provided that you can give some reason to use the money that is left over. Almost always grants are running behind, so you can almost always get that kind of permission.

Now, a contract is different from a grant. A contract is an agreement with an agency to do a job for a certain amount of money. If you can do it for less money, you make money on the project, and you can put that money in your general budget. If you cannot do the job for the agreed upon price, you are still obligated to finish the job, and what deficit there is, your institution has to make up. When you make a contract you have to be very careful to check that you can fulfill it within the limits. I had a contract recently to do a piece of research for the State of Florida; we were fortunate, and were able to save a few hundred dollars on it. We could use this money for something else. When you have money left over from a contract, it is money that you can do whatever you like with.

In most cases when you have money left over from one year, they let you carry it over to the next year. In some cases they cut the next year's budget by that amount, and in some cases they do not . It depends on what your particular situation is. If you can show that you need that surplus plus the next year's budget, they will frequently give you both. Any other questions?

The whole business of budgeting is so tough that my old teacher used to say that the way he made out a budget was to make out the budget very carefully and then double it. That is said only partially facetiously. There are very many things in a grant that are difficult to anticipate. Unfortuantely, you cannot put in "X" number of dollars for contingencies. It would be good if you could make out your budget for $100,000 and then request $10,000 for unforeseen contingencies. But I know of no grant agency that will permit you to do that. Therefore, you must make out your budget as carefully as you can, and then justify every part of it.

If you know that you can expect a cut in the budget, how can you operate? Hopefully, there are some things that you can cut without damaging your grant too much. Maybe you can be a little more careful of your supplies. Maybe you can make fewer long distance telephone calls. Maybe you budgeted for a consultant to come in once a month and you find that you can get along with him coming in once every two months. Maybe you had planned to have three teachers teach, and you find you can get by with just two teachers. Some things you can cut and some things you cannot. You have to decide if your grant gets cut whether you still want it. In almost every case the requesting agency will accept a cut grant than no grant at all. I do not know of a case where an institution turned down a grant because it had been cut and they felt they could not carry out the program. That does not mean that the grants have that much fat in them; you just modify your program, training less students, and so forth.

One of the other things I ought to mention about grants is that I think institutions often do not show enough of their contributions. Not only in the way of overhead, but when you start a new program it is rare that these students are being taught 100% from the new program. There are almost always some things that the students are going to get from the general college budget. These points are frequently not shown in grants. If the grant does not require a contribution from your institution, then there is no point in mentioning these. But if the budget requires a contribution from your institution, then here are some things you ought to think about and make sure they are included in your budget. Let's say you are like Delgado which has two very much overworked counselors for all of our students, for about 3,000 students. If Delgado takes on some new program, where 100 new students are coming into this institution, you might ask how can Delgado take in 100 new students without the counseling services getting some call from these new students? If we are servicing 3,000 students, and we take in 100 new students, we are taking 1/30 or three percent additional students.

I think you could make a case for adding three percent of the cost of our counseling service to the cost of this grant. That is not an overhead cost, that is not maintenance, or utilities. But it is a contribution the college is making to this grant.

There are instances, for example, where you budget a new program such as we did in our Menta. Health Generalist, where students will take some new courses in this program which will be taught by teachers who are paid for by the grant. But the students will also take a course from the general curriculum, such as basic English, which means that the English Department will have to set up one more section for these students, or the English Department will have to take these 30 students and spread them across the sections they already have. Thisis a hidden cost of this program on the institution, and as such it is a legitimate contribution to your budget which many institutions do not always think of. If you have to contribute 10% or 20% of your grant, these are some ways you can come up with some additional money.

Many times when an institution wants to get a grant, it tends to try to forget about these additional costs which the grant is going to cause it. That is the other side of the coin. But they are legitimate concerns about the budget. Any questions about this?

A few other notes that I have here have to do with this business of control. Some grants have line-item control. When you have line-item control you have a big problem. I hope that you do not ever get a budget like that. Line-item control means you cannot take an item from one line and use it for another item. This means that if you have one faculty member budgeted at $10,000 a year and you pay him $9,000, you cannot take that $1,000 and pay somebody else $1,000 more. Line item control is a much stricter control. It means you cannot take the money from a secretary's salary and pay a faculty member, and you cannot take money from one secretary and pay another secretary. The best kind of budget is to have

no control at all, but very few are like that. Most of them have category control.

Let us talk about some of the small things in budget. How do you know how much supplies money to allocate for in the budget? I think what you have to do is to look at a similar size program that is already in your institution and get some idea from that. Supplies are usually small amounts, $25 to $50 a month. If you go wrong, it is probably not going to make a lot of difference. When you budget your phone calls, do the same thing. Figure out what are other kinds of programs which use phone calls, and how much they spend. This is where a consultant may be helpful.

Let me talk about part-time help. Part-time help is a great money saver on grants. Frequently if you can use your grant money for part-time help, you will operate with much less expense than if you have to hire somebody full time. There are many times in carrying out a grant program where there is a feast and famine kind of work, like registration, where there is extra work. Particularly among clerical work and specialized help there is advantage in using part time help in that you pay people only for the work and time where they are actually on the job. I have found this to be very economical way to operate many grants. Part-time help, of course, has its disadvantages. First you have to find part time help, which is sometimes difficult. Part-time help works best if you can put them on a particular kind of job, not something that requires a lot of training or learning, something they already know how to do when they come on the job. For example, part-time help is useful if you have to do a series of interviews; you can hire somebody to do these. Part-time help is helpful if you have to type a special report; you can hire somebody to prepare that report. If you can do this sort of thing you can save money. Sometimes you can budget for full time help, but use part time help. This will give you more flexibility in your budget. Any questions on that?

This just about gets me to the end of my major points on budgets. In figuring budgets make sure you budget fringe benefits. You have to get a figure

from your institution as to what the fringe benefits cost. Fringe benefits include such things as social security, retirement, perhaps some kind of insurance; at Delgado the rate is 9.96%. If your fringe benefits are 10%, and you do not put this into your budget, you are going to be 10% off overall. Usually you send in a detailed budget for the first year, and a general budget for the second year. You estimate your second year's budget on the basis of the first year's budget. Your second year's budget will probably show an increase over your first year's budget simply because you are going to give salary increases. The granting agency will usually raise no question if your budget shows a five or six percent increase the second year. You also need to ask yourself if you are going to be doing anything different in the second year, or the third year, that will cost more money or less money than the first year? The usual grant only requires that you show the total figure for the second and third years. However, I suggest you prepare your second and third year budgets as carefully as your first year's and keep those figures so that when the second year comes around you will remember and know how you got the budget figure you sent in.

Question: How long is the budget period?

Usually one year.

Question: Do you generally send the budgets for each year in at the beginning?

When you send in the original grant request, you are usually asked to send in a detailed budget for the first year and an estimate of what the second, third, and other years will be. In making that estimate, which you must send in at the time of the original grant request, I say that it is an advantage to actually figure it as carefully as you can. Any other questions?

One other point that I would like to make regards continuation. I mentioned yesterday that after the first year in order to get additional money, you must send

in progress reports. These often must be sent in about the fourth, fifth, or sixth month of your first year. So you begin working on your second year's budget about four or five or six months after you get your first grant.

I also want to say a word or two about the receipt of funds. What the granting agency pays your institution is a variable. Some few granting agencies will pay your institution at least part of the grant when they make the award. Most of them will not pay your institution until after a time, usually at least three months. So if you are starting a grant in July, your institution will probably have to have money to fund the project until around September, with the assurance that the money will come into the institution budget in September. Usually the granting agencies are three months or so behind, and sometimes much longer than that, in forwarding the money. Maybe some of you have had experiences with longer periods of waiting for funds. This is something you have to discuss with your administration, and they have to be willing to give you money from the general fund with the assumption tht it will be made up by the granting agency.

Comment: I guess this could cause you some problems if the waiting period is especially long.

Yes, it may. I have seen some instances where the institution got a large grant in proportion to their general funds, and they had to go out and borrow some money on the strength of the grant to meet the payroll. I have never been directly involved in that sort of thing, but I had a friend who was. He was successful in borrowing some money on that basis.

I want to talk a little bit about two other things; one, some of the things that influence whether or not a project is funded that you need to know about as you write your proposal; and two, handling of the grant money and carrying out a grant after you get the money. It seems kind of unfair to wind up an institute on this sort without assuming you will get a grant and considering what

you will do after you get it. Some of this is an expansion of some of the things we have talked about, but I do want to make sure that all of this gets on the tape.

Some of the things that influence the getting of the grant are the following: feasibility factors--do you propose to train a certain group of people or to provide training in a certain area? One of the things the granting agency will look at is whether or not there are people in that area who will want to be trained, whether there are people who will take advantage of your program. For example, when we were thinking about a program to train people in child care, the question of whether or not there would be people interested in this kind of training was entertained. How can you show to the granting agency some realistic figures that people are interested? Of course, one way to do it is to go out in the community and make a survey. This is usually a pretty expensive procedure. So you have to use the judgment of some people in the community, or you might go out to some of the child care agencies who have people on their staff who are interested in upgrading their skills. If you propose to train 30 people in your program, you ought to be able to show that there are 30 people interested in the training. You have to also consider how they will be recruited. If you are proposing to provide some kind of service, then you have got to show that there is somebody who wants that service. And, of course, there is a question of whether you can provide jobs for the people who are being trained. Most agencies want you to be able to provide jobs.

We talked a little bit about the fact that agencies will want you to have staff available and that you will be able to recruit and obtain the kind of staff you will need. When we applied for Coop Education Program, for example, we said that we would require a Ph.D in counseling and guidance who would have experience in placing people in the community and who would have contacts with industry and so forth. We will have to look hard to find the idealized kind of person that we indicated we would want as the grant director. We knew that, so

we also indicated that if we couldn't find such a person we would take someone with lesser qualifications. This is one of the ways you show the granting agency feasibility.

One of the things you have to keep in mind is how long it is going to take you to get started after you get your money. For example, we were awarded a grant for an environmental technician program. We learned about our award last week, and it is effective next month. Someone must get out and find somebody who is going to be named director so he can start recruiting. You have to decide such things as whether you are going to state in your proposal that you are first going to hire a director and give him three months to get things going. Or do you propose to hire your program director today and get started tomorrow? You probably cannot do that. It takes some time to get programs going. You have to visualize how long it is going to take you wen you write up your grant, and put this down realistically. The school president may have someone in mind and will probably release him from certain duties so he can get this program under way. You cannot start training environmental technicians in January until you have a recruiting program going out and trying to find people interested in becoming environmental technicians, etc. Granting agencies are interested to see whether or not you have allowed for these steps in getting started on your proposal.

Facilities have to be considered. Do you have the classroom space, or are you going to be able to rent it if you do not have it? If you do not have the space, are you able to say that you contacted so and so and that he has the space to rent to you? Perhaps you will even be able to submit a letter from Mr. so and so in which he states that he can and will rent the space to you.

The granting agency will look at your funds, and whether or not you will have enough funds for the project as well as whether you are asking for too much funds. This may seem strange to you, but I have had granting agencies say to

me that they think I have underbudgeted my project. They said I should have so and so in there doing such and such. They have asked me if I were willing to hire such people if they gave me this money? Of course, in most cases, one would say yes. They will want to be sure that you have got enough for travel, equipment, personnel, etc., all of this in terms of feasibility.

Another point I would like to get on the tape -- some people say for evaluation they need to know whether they will need a measuring instrument to measure and evaluate certain outcomes of their program. I would thus like to give two sources of information about measuring instruments. One is a book containing information about psychological tests and psychological measurements. It is called The Yearbook of Mental Measurements by Oscar Burows. Burows has made a lifetime career of keeping a record of the old and new psychological tests that have been used. This book contains references to a couple of hundred mental measurement instruments, personality tests, interest tests, aptitude tests, achievement tests, and so forth. There is a paragraph on each test, telling the name of the test, its author, where you can obtain the test, how much it costs, and usually some research information about the test so you can evaluate the goodness of the test. There will be some information on the reliability and validity of the test, how it was standardized, and what kind of people it is useful to, and where you can find out more information about it. You might want to use Burows' as a resource book for tests of mental measurements.

If you need sociological measurements, such as measurements of groups, of socioeconomic status, of employment satisfaction, and that sort of thing, I suggest you use The Handbook of Research Design and Sociological Measurements by Delbert Miller. Another book on Sociological Measurements is by Charles Bonjean, Richard Hill, and F. Dale McLemore. This has information on a number of scales, questionnaires, tests that are standardized and that measure various kinds of things. If you are writing up an evaluation of a training project, in general you will usually

do better by using somebody's standardized test than trying to develop one of your own. Occasionally you just cannot find somebody who has a test that measures what you want to measure and you have to develop your own test.

When you write a grant request and report that you are going to measure self-concept, that the program is going to increase the self-concept of students, then you say you propose to use such and such an instrument named so and so. For example, one that measures self-concept is The California Personality Inventory. You indicate that this is a standardized instrument, that it has a known reliability and validity, that it has been used to measure groups on things that you intend to measure, etc. You are in a much better position if you can say this than if you say that you are going to invent an instrument. Again, the more specific, concrete, and definite you are the better your proposal will be. These are some of the points on feasibility. Any questions?

Let us say you now have the grant, you have received the notice of award that you have been granted a grant. What do you do next? First, you begin recruiting your personnel. This is where your method or procedure section is like a set of blueprints and guidelines as to what you should do. If you have written a good set of narrative statements about what you are going to do, all you have to do is follow them. If it says that you are going to employ a project director, and he is going to set up a series of classes in such and such, you go ahead and follow this time table. Generally speaking, the grant then becomes the province of the project director, and he is responsible to whoever is the supervisory person at the institution.

At the same time you should set up some kind of financial reporting system. The importance of having a clear financial system cannot be underestimated because your institution must pay for any mistake you have in grant accounting. If you overspend your budget your institution will have to make up the deficity. If you spend funds for things that are not authorized, your institution will have to pay for them. Some institutions set up a separate bank account for each grant.

This is fine if you have just one or two grants, and makes the procedures very simple, making the record keeping process easy. But if you have a number of grants, each grant is assigned an accounting number, and everything is paid for out of that numbered fund. You should work out an agreement with your institution that no money will be spent out of a grant without the signature of that grant director. The project director is responsible for that grant, and no money should be spent without his signature. That does not mean that there may not be a counter-signature. Some agencies and institutions find it a good idea for the project director to sign the grant, and the next person in line, the supervisor, to countersign the grant.

Question: Does the project director have to sign for overhead expenditures?

No, the overhead is not the concern of the project director; that expense goes immediately to the institution's general budget.

We have had no problems either at where I am teaching or at Delgado about mispending grants. But, I have heard of instances where project directors have found that their project funds have been spent for something they did not know about. Of course, this can create quite a problem when you are trying to carry on a project. When you start writing this is a difficulty that you have to watch for.

I think it is a good idea for the project director to keep his own set of records as well as any central set of records that the institution keeps. Again, this is based on my own experience. I do not mean to say that people will do something wrong, but when there are many grants at an institution, it is quite possible that an expenditure can be charged to the wrong grant. Most institutional finance offices will send out a monthly report on how much has been spent out of the grant. This goes to the project director. It is a good idea for the project director to compare this to his own records to make sure that the computer has not made a mistake and charged him for something out of the general budget or for

something out of another grant. This way you keep a running account of your grant, and you do not overspend it. Any questions?

Question: Are your grant funds audited?

Yes; thank you for your question reminding me about that point. Your funds will be audited by someone who will come to your institution from the granting agency. When this will come about will vary. It may be some years after the grant is completed. It does not necessarily have to be the day you finish the grant. You may hear two or three years after you have finished the grant that you made some mistake. You may be gone, and be at another institution. The audit may come quite late. There usually is in most institutions, an internal audit where they indicate how the money is spent, and the granting agency often sends someone to audit it further. If the institution cannot show that they have spent the grant the way it was supposed to be spent, then they are liable to pay any overage. I cannot stress too much the importance of keeping good records, and making sure that nothing is spent without the signature of the director. This solves a lot of problems.

Question: I have a question on accountability. Are the institutions being held accountable for budgets, or progress reports, etc?

Yes, you are expected to send in a progress report at least once a year.

Question: In terms of accountability, is there a trend toward more and more accountability?

Some grants require a quarterly report; this is rare. Semi-annual reports are occasionally requested; but most often annual reports are requested. For example, at Florida, the Office of Contracts and Grants, which is a separate department, sends us once a year a sign off sheet, which is sent to the grant director, saying that"according to our records this is where you stand on the grant. This is how much spent in each category and this is how much that is left." When that comes to me as a grant director I check it with my personal records, to see if they agree, and when they do not we try to find out where the discrepancy is.

Once we agree on it, I sign it and the university signs it, and then it goes into the granting agency as an annual report.

Question: Is this done well before the auditor comes?

Oh yes, this is done very year. In fact, there are requirements that the report must go in each year so many months before the continuation grant is received. I have just finished, for example, sending in a number of continuation requests and sign-offs; we call them sign-offs because the contracting officer for the university signs off for this. They were due December 1st. Have I answered your question?

If you cannot get monthly reports from your finance office, I suggest at least quarterly reports. It is unfortunate to find out that you have spent 80% of your grant money and only 60% of your time period has passed. You are left with the problem of what to do for the rest of the time. It is better to budget all along; the bigger the grant the more necessary to do this. For example, if you hire somebody for $12,000; you should immediately encumber the grant for this money, even though we will not be spending it all in a lump sum, but spending so much per month. But it is encumbered; it is not available for anything else. If you do not encumber your money ahead of time, it looks as if you have more money than you really have, and you can run into trouble.

Question: Along those lines, do you make any use of the chart or graph where you project your expenditures over a time period, and then plot in your expenditures to see if you are above or below the line?

Yes, I have done that too. When the grant is complex, that is a good approach to budgeting. Here at Delgado, you might be interested to know that the way the Research and Planning Department is set up, we do not have responsibility of doing that on any individual grant. Once a grant has been received, and a project director has been appointed, then that project director works directly with our finance

office in handling the records. The only grants that we handle are the ones made directly to our Research and Planning Department where someone in the department is project director. At the present we do not have any such grants at Delgado.

Each year, however, we have had a National Institute of Science grant. Does everyone know about the availability of these grants? We ought to mention that. This is a grant that you may be eligible for; it has the happy facility in that you do not have to write a narrative to get it. It is a grant that the National Institute of Science makes available each year to colleges and universities, and the amount you get is dependent upon the amount you get from other grants that your institution has received. They take the other grants that you have received and subject them to some kind of formula, and on that basis they give you x number of dollars. All you need to do to get this grant is to send in a letter to the National Institute of Science saying that you would like to apply for this grant. As I recall the deadline is July. It is too late to apply this year, but all your president has to do is write a letter of application to the Institute. If you are eligible and do not apply, you will not get it. The advantage of this particular grant is that it is very flexible in terms of what it can be used for. In fact, they interpret science in the broad sense, and the money can be used to expand the scientific activities of your institution in the broader sense. We used it one year to pay the salary of someone in our Research and Planning Department; we wrote to the National Institute of Science and asked them if they thought this was a legitimate use of the money before we did it, explaining that this person would be writing grants, helping the university to develop a science program, including its social science program. They indicated that we might do that. We hope to get one this year in December when the grants will be awarded. This grant requires periodic reports, asking what you have done at the end of the year to advance science. This may be writing grant requests trying to get money to develop a science program.

When you get your grant, there are some other things that I think are important to remember. When you employ someone on a grant and pay him from grant funds, which is soft money, I think you have an obligation to tell that employee at the time you hire him that the source of his paycheck will be grant money and that his job will be for a limited time. I think this is not followed sometimes. People are employed and not told that they are on soft money. I think that if someone comes to your agency on soft money, he should be told so that he can decide whether or not he wants to come for a limited period of time. Once the grant money runs out the agency may or may not be able to continue his employment.

The same thing holds true for anything else that is different in grants. It is obviously good administration. If people on "grant" are going to have different leave policies, or salary policies, and fringe benefit policies, they ought to know that before they are hired. Sometimes a grant may not pay firnge benefits, particularly if the grant is short term or if they are part time employees. Making these points known is good for morale; if you make these points known right after you get your grant, it makes for better accountability.

Needless to say, your grant funds must be spent for grant purposes. But some flexibility is provided in some cases. For example, let's say you hire a secretary on a grant. Let's say that temporarily she has a little time on her hands, and temporarily you need a secretary on some other activity. Most agencies would not object that you lend this secretary to another activity for a short period of time, provided that you keep a record of it, and you work out a way by which somebody would be loaned back to the grant to pay for it. I think you can get in trouble if you hire a secretary for a grant and then use her for some other position, but this loaning back and forth, if not done to excess can keep employees productively busy.

We need now to consider how you write a report on a grant. You have got your grant started; you are moving along, and then someone requests a report, either

a progress report or a final report. In the first place,what you put into a report on a grant depends on who it is written for. You cannot write a report on a grant that would be suitable for everybody. If you are writing a progress report to a granting agency, you may write one thing. And that report may or may not serve as a report to your own administrator. One has to write it in terms of the audience. And this,of course, is true of any report. In your report for your grant, just as in the grant itself, you ought to show as much specificity and evidence for every statement you make just as you did in the proposal for the grant. When you budget for your grant, you may want to budget for your grant report. Sometimes the final report on a grant is something which is quite useful for others than yourself. You can see we gave you a couple of copies of final grant reports, and I am sure you have others at your institution. Some agencies will permit you to budget in the grant for the final report; some will not. If your agency will not allow you to budget for the final report, then your institution has to cover this expense.

You ought to agree, when you get the grant, about authorship of reports. This is a small point, but can save problems in the end. Situations in many colleges and universities regarding promotions and salary increases are related to whether you have done any publication and writing. It is improtant to decide at the beginning of the grant whose name is going to go on the report. My suggestion is to put everybody's name on all the reports. That way everybody gets credit for it. When you have a grant, granting agencies encourage you to present papers at various institutions. They encourage you to go to meetings and present reports and papers. You are usually free to write anything about your grant or about your findings, or training program without having to clear it with the granting agency. Most of them will insist that you give them credit for the funds. You should note on your papers that this report was written on grant number so and so funded by the (agency name) etc. In some cases the granting agency will insist that you

send out reports, and even give you a list of places to send it to. In other cases it will be up to you whether or not to give reports and papers on the grant. The report on our group therapy project, for example, was done at the express request of the Social and Rehabilitation Service. They sent us a list of over 700 people to send that report to, and that is customary.

Question: It seems that I am unclear about acknowledgements and authorship. Are they one in the same?

No, I say you should decide when you get your grant how your reports are going to be authored. If you have a director, a codirector, and some staff, then often everyone who contributes will have their name on a paper. You should acknowledge the source of funds of the agency on any reports that you should give on the grant. I am not talking about acknowledging help from others in writing the papers; I am suggesting that you have joint authorship on papers. Some people might argue why should so and so have a joint author if I write the paper? Why not simply acknowledge him for his help? Actually, this is a matter that each institution has to decide for itself. Some work better one way, and others another way. We have usually had an agreement here that if there are two or three people involved in a grant, everyone looks the report over, and it goes out with everyone's name on it. It seems like a fair way of doing it. On the other hand, if one person has written the paper, and none of the others have contributed to it, then their names probably ought not to appear on it. Any other questions?

One of the cheapest ways to get reports published is to photograph them. You get a good typist to type a photoready copy, and then you get a printer to print it. It can be reduced in order to get more on fewer pages.

Question: When an agency asks you to make as many as 700 extra copies, do they make allociations in your budget for that?

Yes, the Social and Rehabilitation Agency provides money for this sort of thing. If you wind up with not enough money in your budget for your final report,

you can ask for extra money for it. I think any project worth doing is worth writing a report about. I think it is good for your institution, and it certainly won't do you any harm as the project director to have your name on a report. We try to write a report on everything we do; occasionally it is just a mimeographed report. I am not sure yet what form this report on this conference will appear in.

Question: Is this conference financed by a grant?

No, Delgado plus admissions fees financed this conference.

Question: But you can write grants for this type of thing?

Conceivably you could write grants for institutes and conferences. The Office of Education has a specific program and guidelines for this sort of thing. One funded was a teacher training institute; it was funded and we had another with Southeastern which involved a media training program that is currently being reviewed.

One other thing about grants is about inventions, instruments, tests, other devices that come out of grants. Sometimes in the course of carrying out a grant project you might develop some kind of test to measure student performance, (it's unlikely that anyone in education might develop an invention, although you might in some physical science or engineering field). In most cases, the granting agency will permit you to copyright this or patent it, and you can sell it. But you cannot sell it to the granting agency. This may get to be a kind of uncertain territory, whether the invention is the property of the project director or the property of the institution. You will recall the situation with Gatorade, where the coach at Florida developed this drink for athletes, and which has been marketed. There has been a suit in which the coach claimed that this was his drink. It was not a problem until it became quite popular, then the university became interested. Usually this is not a problem, because if a teacher develops a test, it is financially not worth very much and the university or college is often not interested.

But you need to protect yourself against such possible problems. I make it a point, after many years of experience, that if I write anything I consider of importance to put a copyright on it, with my name and the date. This protects you from infringement until you get an official copyright. This is the way the copyright law reads. If you publish something without"copyright"on it and without your name and date, then it is public property, and you cannot copyright it at a later date unless you can show that the material at a later date is definitely different from the original material. As a safeguard, I have done this for a number of years. I do not know that it is made any difference since most of this material has not been saleable. But I suggest that if you write any reports that you do copyright them. Any questions on this?

Question: Assuming that you have some travel money, and you are eligible to travel, is it worthwhile to travel to Washington to meet with the federal granting people?

Yes, I think it is; I do not think it pays to go on a fishing expedition, though. It is best to go with one or two or three specific ideas in mind. If you are going to make a trip that far, it is better to go with more than one idea. I think there is some advantage in going around to the various agencies and talking with them about your ideas. I think you gain two things: you get to meet some people who you can contact later, and who will know you and second, you often get some first hand information that is not in any guidelines or books about what is happening now or will be happening a few months from now. It generally takes a period of time to write a grant. I have written them in two or three days, but that is the exception rather than the rule. We usually spend two or three weeks or longer writing a grant, possibly because we were working on some other research at the same time. But we will write a rough draft and each looks at it and revises it, adds to it etc. It takes a while to write a grant, so if you know what is going to happen in the future this can help

you in writing future grants. Somethings change so fast that it is hard to write future grants without going to Washington.

What you do, it depends on how much time an institution can devote to a grant writing program. I strongly recommend that one person at each institution have the job. It should be a full time job so he will not have to do other things, giving him enough time to keep abreast of things. I think it pays off for the institution in the long run. You have to find somebody who likes to write and search out grants, and has the right personality for it. I have been asked why I have not gone into grant writing as a vocation; but I prefer it as an avocation. I enjoy my teaching. I know myself well enough to know that if I did this everyday I might get tired of it. I like to do a varied sort of job. If I had something like Angel does, working in the community, doing research, and some other things, that might make it interesting. I do think that there is an advantage of having somebody who can stay on top of the job, who can keep a file of what kind of deadlines are coming up, who can keep a file on guidelines available to faculty, who can help faculty find out about possible grants, etc.

I cannot stress too much the benefit of having names of people that you can talk to who can tell you without having to worry about their public relations image, what the situation is. Washington is concerned about its image, and its public relations. So while they will always tell the truth, some of the things they are worried about they may tell you, and sometimes you need to know those things. I suspect that the next few years are going to be lean years for federal grants.

The new Institute for Education may be a salvation for educational institutions. I think that it was mentioned in this last report we had. This institute has been funded, and it is going to send out some guidelines by the end of December. If you knew about this by October or November, you could have begun to do some preliminary thinking and writing about establishing a need for a grant, and so forth.

I remember one grant that we got here at Delgado because we were one of the few places who were ready for it. We knew that a guideline was coming out, and the agency was late in sending out the new guidelines, so we went ahead and wrote out a rough draft of the grant using the old guidelines, gambling that they would be very much the same, and they were. We sent it in with very few modifications for the new guidelines because of that delay, and because we were ahead, the competition was not too severe, so we were able to get the grant. This business about being on top of things can make a lot of difference.

Question: Can you say anything about standard forms? For instance, if you are used to working with state agencies and writing grants for them, they use a standard grant request form, and if you do not use that form you do not stand a chance of getting the grant.

That is true of most grants; if you do not fill out the forms properly, even though you have a good narrative, somebody may either send it back to you or reject it.

Question: So one guideline may not work for another proposal year after year?

Right. One thing your question has stimulated me to talk about is a grant from the state itself. I have not talked much about state money; I have talked mostly about federal money because most of my experience has been with federal money. But there is money to be obtained from state funds, in many instances. I do not know as much about the state of Louisiana as many of you probably do since I have been away from it for a few years now. But the state of Louisiana, like other states, gets grants which are called by various names, such as formula grants, based on a certain formula, like how many people there are in the state at a certain age or with a certain income or education. Or they may get a rehabilitation grant according to how many disabled there are in the state according to certain formulas. Those grants go to a state agency in Baton Rouge, and under certain conditions a college or institution can apply for funds from the state. Delgado

obtained some money, for example, for a study of facilities; we were told that this money was available and that we might apply for it, and we did. That is money that comes to institutions from the state. It is my impression after working in both Louisiana and Florida that Louisiana may not have taken advantage of all the programs that are possible because of the state has to put up some of the money and not as much state money is available. Any other questions?

Question: Do the granting agencies ever investigate the personnel that you have selected for your project?

Do you mean, get [illegible]ral clearance on them?

Yes.

I have never known them to do that on a grant that was made to a state institution; that doesn't mean that they might not do that. But I have never known it to be done. Does anybody know of such an incidence? I have had them investigate employees of mine who were going on to a federal job. But I think that when they give you federal money and it comes to you at the state, that sort of clears you of that sort of problem as far as I know. I have had no experience, however, with "classified" projects. There may have been instances that I do not know about. The auditor usually raises questions such as that you paid for this kind of equipment and you had no right to buy it. I recall a question by an auditor--at Florida we have a grant that pays student stipends. We paid a student stipend from a fund that should have been used for personnel. This was just an error; we were told we were in error; we agreed to the error, and we had to rectify the error. That is all that happened. Any other questions?

Question: How much digging can you expect to be done in so far as actual research on any average program?

I don't know exactly what you mean by digging?

I mean, for example, I think that to prove your point you have to have supporting data. How much supporting data and that sort of thing do you think

you need?

That is a good question. For example, when have you established need for a program? I think it's hard to give you any objective guideline or standard by which to do that. Certainly you need some kind of an explanation of need and some kind of documentation of the need of your grant. And you can do that either by doing some research, by going out and doing some studies and research, or by going to the library and showing some documentation from there, or you can do that by getting some opinions of people who are in a position to know whether there is a need. Many times you do all three. But, as to when you have enough, I just do not know the answer. That is the sort of thing you go by on the basis of experience. When you feel like you are satisfied, and that you have made a good documentaion, that is it. Sometimes a consultant can help because he has looked at lots of grants. For example, I was working with a group in Florida who were trying to develop a comprehensive program of drug treatment. (I work on other things besides junior college research and planning.) They had done some studies on the need of this program. They had gone out and studied the arrest rates for drugs; they had even done some street corner interviews to get some feedback about people's opinions about the drug problem. But when you look at all that data, it showed they had a problem with marijuana, but it did not show they had any problems with hard drugs. It was my opinion as their consultant that they had not really shown their need for a comprehensive program. I told them that they had shown a need to combat marijuana, but I did not think they were going to be able to find anybody to fund such a program. It was my suggestion that they try to establish more need, but they did not feel that they could do that within the deadline, so they went ahead and submitted it anyway. We will see what happens. You can get ideas how to establish need by looking at other grants that have been funded. While competitors may be reluctant to let you see a grant that

is in process, they will let you see funded grants, so you can ask about these.

Comment: The reason I asked it is because I think that many of the things we have talked about are training programs which are more concrete. But the more social-personal types of things which I am interested in are harder to prove a need for. Particularly if you have something, again which I am interested in, like program development. Something you may already have a nucleus of but you want to build on.

Well, let us take the nursing program. When we were working on a grant for a nursing program here at Delgado, we were thinking of an AA program for nurses (which is kind of along this personal-social line), we went out and got information on illness rates in the city of New Orleans and the number of nurses that are available and the number of days people spend in hospitals. We got quite a lot of information from the health department about illness, and health, and services available. Then we got the opinions of certain people in the community which showed quite a gap in it. Along this line it is always useful if you can present comparable data. It is better if you can say here is the situation in New Orleans and here is the situation in Houston, or some other city. Show your comparable need. You have to be careful what you compare it with. If you compare the problems in a rural area with the problems in an urban area you can make it look one way or another. The person reading your grant is going to be smart enough to know that. So you have to pick something that is really comparable. Comparable data is one way of showing need. Any other questions?

If there are no other questions, this concludes the institute. Thank you for your help in making it possible.

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